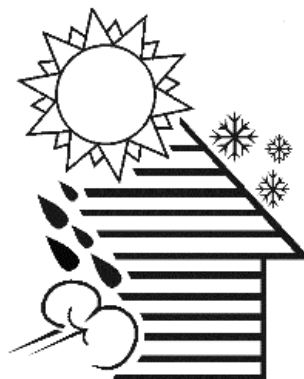


**STATE OF MISSOURI
DEPARTMENT OF NATURAL RESOURCES
DIVISION OF ENERGY**

**WEATHERIZATION PROGRAM
OPERATIONS MANUAL**

<i>Section 1</i>	<i>Subgrantee Overview</i>
<i>Section 2</i>	<i>Client Services</i>
<i>Section 3</i>	<i>Reports and Recordkeeping</i>
<i>Section 4</i>	<i>Financial Management</i>
<i>Section 5</i>	<i>Procurement</i>
<i>Attachments and Links to Appendices</i>	



*Weatherization
Works*

August 2023

Table of Contents

Section 1 – Subgrantee Overview

I.	Service Area: Organization Network and WAP Subgrantees	1
A.	Community Action Agencies	1
B.	Not-For-Profit Organizations	1
II.	Subgrantee Selection	1
A.	Pre-Award Solicitation	1
1.	Required Documentation	2
2.	Evaluation Criteria	2
3.	Requirement for a Public Hearing	3
B.	Post-Award Probation Period	3
III.	Subgrantee Monitoring	3
A.	Problem Resolution	3
1.	Reporting	3
2.	Work Quality	3
3.	Health & Safety	4
4.	Fiscal Compliance	4
B.	Monitoring Activities	4
1.	Desk Monitoring	4
2.	Fiscal and Procedural Monitoring	5
3.	Work Quality Monitoring	5
4.	Annual Single Audit Review	5
IV.	Notification of Personnel Changes	6
V.	Terms for Probation, Defunding or Penalties	6
VI.	Procedures to Terminate a WAP Subgrantee	6
VII.	Additional Information – Helpful Websites	9

Section 2 – Client Services

I.	Client Solicitation	11
II.	Client Eligibility.....	11
	A. Definition of Income.....	11
	B. Income Verification.....	11
	C. Income Reverification.....	13
III.	Client Selection.....	14
	A. Prioritized Client Selection	14
	1. Subgrantee Client Selection Process.....	14
	2. Demographic Priority.....	15
	3. Client Selection Points.....	15
	B. Emergency Services / Health and Safety	16
IV.	Conflict of Interest Policy	17
V.	Dwelling Characteristics	20
	A. Documentation Requirements.....	20
	B. Dwelling Eligibility	20
	1. Single Family	20
	2. Multi-Family	20
	3. Re-weatherization	21
	4. Proof of Home Ownership	21
	5. Weatherizing Shelters	22
	6. Tiny Homes, Sheds, RVs, Travel Trailers	23
	C. Homes Designated for Acquisition or Clearance.....	23
	D. Homes for Sale, Homes in Foreclosure, and Vacated Homes.....	24
	E. Homes Damaged by an Act of God	24
	F. Flood Plain	24
VI.	Disaster Plan	25
	A. Allowable Disaster Activities	25
	B. Eligibility Requirements	26
	C. Equipment Procurement.....	26
	D. Additional Non-DOE Funding.....	27
	E. Disaster Expenditures Accountability and Reporting	27
VII.	Rental Properties	27
	A. Special Requirements.....	27
	B. Contributions.....	28
	C. Undue Enhancements.....	28
	D. Dispute Resolution Procedures Involving Rental Units	29
VIII.	Client Education.....	29

Section 3 – Reports and Recordkeeping

I.	Reimbursement and Client File Requirements	31
II.	Required Documentation to be Uploaded on the MoWAP Reimbursement.....	31
III.	Required Forms and Documentation to be Uploaded on the MoWAP Client File	32
IV.	Required Forms and Documentation for the Physical Client File	37
V.	Required Forms and Documentation for Contractor Files.....	38
VI.	Definition of a Home in Progress, a Completed Home and an Amended Home.....	39
	A. Home in Progress	39
	B. Completed Home	39
	C. Amended Home	39
VII.	Reporting Homes	40
	A. Quality Control Inspected Homes.....	40
	B. Non - Quality Control Inspected Homes	40
	C. Procedures for Reporting Non-Quality Control Inspected Homes	40
VIII.	Leveraging Activities	41
IX.	Monthly Reporting.....	42
X.	Quarterly Reporting	42
XI.	Annual Single Audit Report.....	43
XII.	Annual Vehicle and Equipment Inventory Report	43

Section 4 – Financial Management

I.	Budget Submission and Revision	45
A.	Submission.....	45
1.	Budgets	45
2.	DOE Subgrant Requirements.....	45
3.	Revisions.....	45
B.	Budget Categories.....	46
1.	Administrative Funds.....	46
2.	Insurance	47
3.	Financial Audit.....	48
4.	Leveraging	48
5.	Training and Technical Assistance.....	48
6.	Program Operations	49
C.	Carryover Restrictions	49
D.	Cost Limits.....	49
1.	Average Cost Per Unit	49
2.	Incidental Repair Cost Limits	50
3.	Health and Safety Cost Limits	50
4.	Minimum Material and Labor Expenditures per Funding Source	50
E.	E-Verify Requirements.....	51
F.	Sales and Use Tax Compliance	52
II.	Funding	52
A.	Subgrant Advance	52
B.	Subgrant Advance Policy.....	52
C.	Reimbursement	54
III.	Weatherization Funded Asset Management.....	55
A.	Inventory	55
B.	Equipment.....	55
IV.	Closeout of Weatherization Program Years	55
V.	Final Reimbursements and Audits	56
A.	Final Reimbursements	56
B.	Audits.....	56
VI.	Program Income.....	56
VII.	Terminology Definitions	56

Section 5 – Procurement

I.	Small, Minority, and Women-Owned Business Enterprises	57
II.	Procurement of Building Insulation Products Containing Recovered Materials	57
III.	Procurement, Management, Leasing and Disposal of Non-Expendable Property	57
	A. Vehicle and Equipment Purchase Guidelines	57
	B. Property Management	59
	C. Leasing	59
	D. Property Disposition	59
IV.	Management of Weatherization Materials and Contracted Service	62
	A. Procurement	62
	B. Selection	63
	C. Management	63
	D. Disposal of Surplus/Salvage Weatherization Materials	64
V.	Competitive Procurement Standards	64
	A. General Conditions	64
	B. Determining Procurement Method	66
	1. Under \$10,000	66
	2. \$10,000 to \$49,999.99	66
	3. \$50,000 or more	66
	C. Procedures for Bidding Contract Work on a Home-by-Home Basis	67
	1. Establishing a Contractor Pool	67
	2. Bidding Process	67
	D. Procedures for Bidding Contract Work on an Annual Basis	69
	1. Development of the Procurement Document	69
	2. Preparation of the Heating Systems Clean, Tune, and Repairs RFQ for Use	75
	3. Preparation of the Furnace/Air Conditioner Replacement RFQ for Use	76
	4. Quality Standards for Heating System C & T, Repairs and Replacements	77
	E. Financial Audit Bid Requirements (See the <i>Audit Guide</i>)	77
VI.	Solicitation	77
	A. Type of Procurement	77
	B. Ensuring Competition	78
	C. Pre-bid and Pre-quotation Conferences	78
	D. Handling Bidders' Questions	78
	E. Contractor Debarment Certification	79
	F. Physical Handling of the Returned IFB/RFQ	79
	G. Handling of Sealed Bid – Photocopy	79
	H. Withdrawal of an IFB/RFQ Prior to Opening	79

VII.	Bid Opening.....	79
	A. Public Opening.....	79
	B. Sole Source; Sole Response; and "No Bid" Response.....	80
	C. Corrections to the IFB.....	80
	D. Preliminary Award	80
	E. Withdrawal of Bid After Bid Opening.....	81
VIII.	Bid Evaluation and Award	81
	A. Evaluation Criteria.....	81
	B. Responsiveness	83
	C. Responsibleness	83
	D. Protests.....	83
IX.	Contract Management.....	83
	A. When an IFB Becomes a Contract.....	83
	B. Amendments to the Contract	83
	C. Breach of Contract	84
	D. Performance Bond	84
	E. Photocopy of Sealed Bid.....	84
X.	Guideline for Implementation of the Recycled Products in Insulation Requirement.....	84
	A. Who and What are Affected by the Regulation	84
	B. Procurement Procedures	85
	C. The Affirmative Procurement Program.....	85
	1. Preference Program.....	85
	2. Promotion Program.....	86
	3. Estimation/Certification/Verification.....	86
	4. Annual Review and	
	5. onitoring.....	86

Attachments

Section 1

Attachment 1-1	Map of WAP Service Areas.....	89
Attachment 1-2	WAP Administrative Office Addresses and Contacts	91
Attachment 1-3	Agency Numbers and Counties Served	93
Attachment 1-4.1	MoWAP Client File Review and Reimbursement Checklist	95
Attachment 1-4.2	Agency Reimbursement Guide	97
Attachment 1-5	Fiscal/Procedural Monitoring Tool	121

Section 2

Attachment 2-1	DOE WPN 22-3: Poverty Income Guidelines and Definition of Income	123
Attachment 2-2	Disaster Certification	131
Attachment 2-3	Procedures for Weatherizing Flood-Damaged Mobile Homes	133
Attachment 2-4	DOE WPN 12-07: Revised Guidance on Weatherization Disaster Planning and Relief.....	135
Attachment 2-5.1	Landlord/Authorized Agent Agreement and Certification Form	139
Attachment 2-5.2	Sample Landlord Agreement Cover Letter	141
Attachment 2-6	Legal Services of Missouri	143
Attachment 2-7.1	E1PY – LIHEAP Payment Information Screen	145
	E1RG – LIHEAP Registration Screen	146
Attachment 2-7.2	LIHEAP Authorization for Release of Information	147
Attachment 2-8	Steps for Obtaining an On-Line Social Security Benefit Statement Letter ...	149
Attachment 2-9.1	Sample IRS Form 1040.....	151
Attachment 2-9.2	Sample IRS Schedule 1	153

Section 3

Attachment 3-1	Other Fund Sources Quarterly Report	155
Attachment 3-2	Minority Women Business Enterprise Quarterly Report	157
Attachment 3-3	DOE WPN 11-03 (Regarding the use of DOE funds for call-backs)	159
Attachment 3-4	Vehicle-Equipment Inventory Report	163
Attachment 3-5	Sample Invoice.....	165
Attachment 3-6	Contractor File Checklist	167

Section 4

Attachment 4-1	Itemized Budget Worksheet Instructions	169
Attachment 4-2	Audit Guide.....	171
Attachment 4-3	Schedule A	175
Attachment 4-4	E-Verify Certification, Enrollment, and Affidavit of Work Authorization	177
Attachment 4-5	MO Dept. of Revenue <i>Vendor No Tax Due</i> sample letter	181

Section 5

Attachment 5-1	Criteria for an IFB-RFQ Checklist	183
Attachment 5-2	DOE WPN 17-6 (with FAQs)	185
Attachment 5-3.1	Instructions for Completing the Tangible Personal Property Report Forms..	193
Attachment 5-3.2	Tangible Personal Property Report (TPPR) SF-428	195
Attachment 5-3.3	TPPR Disposition Request / Report SF-428-C	197
Attachment 5-3.4	TPPR Supplemental Sheet SF-428S	199
Attachment 5-4	Property Closeout Certification Spreadsheet	201
Attachment 5-5	Equipment / Vehicle Disposal Report	203
Attachment 5-6	Vehicle/Equipment/Building Purchase, Lease Request	205
Attachment 5-7	Form A – Invitation for Bid	207
Attachment 5-8	Form B – Bidder Qualification Review	209
Attachment 5-9	Form C – Clean & Tune and General Repairs and Pricing Page	211
Attachment 5-10	Request for Quotation Guidance	212
	Part I General Information	217
	Part II Instructions to Respondents	219
	Part III Technical Specifications	221
	Part IV Specific Requirements	223
	Part V Contractual Requirements	225
	Form A Work Order and Procedure for a Gas Furnace Clean & Tune	229
	Form B Work Order and Procedure for a Boiler Clean & Tune	231
	Form C Work Order and Procedure for an Oil Furnace Clean & Tune	233
	Form D Furnace or Space Heater Replacements	235
Attachment 5-11	Request for Quotation Guidance	237
	Part I General Information	239
	Part II Instructions to Respondents	241
	Part III Technical Specifications	243
	Part IV Specific Requirements	245
	Part V Contractual Requirements	247
	Form E Request for Sole Source/Sole Response Approval for Commodities..	249
	Form F Request for Sole Source/Sole Response Approval for Services	251
	Form G Bid Tabulation Form	253
	Form H Telephone Bid Record	255
	Form I RFQ or IFB Amendment Form	257
	Form J Building Insulation Product Containing Recovered Materials	259

Links to Appendices

Appendix A	PY22/FY23 DOE State Plan Documents	261
	<i>PY22/FY23 Annual File Worksheet</i>	
	<i>PY22/FY23 Master File Worksheet</i>	
	<i>PY22/FY23 Master File Attachments</i>	
Appendix A	Bipartisan Infrastructure Law State Plan Documents.....	261
	<i>Bipartisan Infrastructure Law Annual File Worksheet</i>	
	<i>PY22/FY23 Master File Worksheet</i>	
	<i>PY22/FY23 Master File Attachments</i>	
Appendix B	10 CFR 440	262
Appendix C	DOE WPN 21-1 Grant Guidance	262
Appendix D	DNR General Terms and Conditions	262
Appendix E	DNR Sample Scope of Services	262

Section 1 – Subgrantee Overview

I. Service Area: Organization Network of Low-Income Weatherization Assistance Program (WAP) Subgrantees

A. Community Action Agencies

- Central Missouri Community Action (CMCA)
- Community Action Agency of Greater Kansas City (CAAGKC)
- Community Action Agency of St. Louis County (CAASTLC)
- Community Action Partnership of North Central Missouri (CAPNCM)
- Community Action Partnership of Northeast Missouri (CAPNEMO)
- Community Services Inc. of Northwest Missouri (CSI)
- Delta Area Economic Opportunity Corporation (DAEOC)
- East Missouri Action Agency, Inc. (EMAA)
- Economic Security Corporation of Southwest Area (ESC)
- Jefferson Franklin Community Action Corporation (JFCAC)
- Missouri Ozarks Community Action, Inc. (MOCA)
- Missouri Valley Community Action Agency (MVCAA)
- North East Community Action Corporation (NECAC)
- Ozark Action, Inc. (OAI)
- Ozarks Area Community Action Corporation (OACAC)
- South Central Missouri Community Action Agency (SCMCAA)
- West Central Missouri Community Action Agency (WCMCAA)

B. Not-For-Profit Organizations

- Urban League of Metropolitan St. Louis (ULMSL)

(See Attachment 1-1 for a listing of subgrantees and a map of subgrantee service areas.)

(See Attachment 1-2 for a listing of WAP Administrative Office Addresses and Contacts.)

II. Subgrantee Selection

A. Pre-Award Solicitation

Upon occasions when the Missouri Department of Natural Resources' Division of Energy (department) may seek WAP sub-recipients, interested organizations will be solicited through a competitive Request for Proposal (RFP) issued by the department.

1. Required Documentation

An organization must submit a detailed plan describing how it will operate the program. It must also meet basic program requirements to qualify as a potential candidate. The basic criteria include, but are not limited to:

- a) Proof of adequate bonding
- b) Proof of ability to secure adequate insurance
- c) Completed Certificate Regarding Debarment, Suspension and Other Responsibility Matters and Drug-Free Workplace Requirements
- d) Signed lobbying form
- e) An Organization's Articles of Incorporation, its organizational chart, and names of persons authorized to sign on its behalf
- f) Certificate of Good Standing and documentation supporting its legal status with the Missouri Secretary of State's office
- g) Credit references and proof of financial solvency

2. Evaluation Criteria

- a) Weatherization, renovation, and/or energy efficiency experience
- b) Descriptions and number of years of experience in weatherization, renovation, and/or energy efficiency activities
- c) Performance records: Number of homes completed and documentation of successful completions
- d) Number, qualifications and experience of staff in rating energy conservation measures and/or residential weatherization/renovation activities
- e) Program management experience
 - i) Description and number of years of management experience of the organization
 - ii) Qualification and experience of management staff
 - iii) Contract/subcontract management experience
 - iv) Ability to secure volunteers and/or public service employment workers in accord with the Workforce Innovations and Opportunity Act (WIOA) if such employees are available
 - v) Fiscal Accountability – Agency's ability to show sound fiscal and accounting procedures and its ability to present the results of past fiscal audits, if applicable
 - vi) Client Outreach – Strategy, experience and ability of the organization's outreach, marketing of program services, and enrollment of clients
 - vii) Assisting Low-Income Populations – Agency's record in assisting low-income families in the planned service area
 - viii) Organizational Assets – Ability to dedicate and/or contribute an agency's financial and/or in-kind program assets to the WAP such as: administrative support, personnel, office space, equipment, supplies, tools, and other related assets
 - ix) Supplemental funds – Ability to use non-WAP funds in conjunction with WAP funds in servicing eligible homes. Supplemental funds can be used to implement renovation on both WAP-eligible and non-WAP-eligible energy conservation measures.

3. Requirement for a Public Hearing

The department will evaluate all proposals, make a preliminary selection, and hold a public hearing. After reviewing comments from the public hearing, the department will announce a final decision based on the results.

B. Post Award Probation Period

An organization selected to assume a service area will be placed on a one-year probationary period by the Department. Probationary periods may be shortened or lengthened at the discretion of the department, based on the organization's ability and capacity to meet client service objectives and comply with the technical and administrative WAP requirements. The organization must be able to document that they have the number of eligible client homes to weatherize to meet their production goals. An eligible client is one who has requested WAP services and has been "certified eligible," which means the client (1) is income eligible; (2) has not been previously serviced through the WAP (unless he or she is eligible for re-weatherization); and (3) resides in the area to be served.

III. Subgrantee Monitoring

As the granting agency for the statewide administration of the WAP, the department is responsible for monitoring the performance of each local WAP subgrantee. Monitoring enables the department to determine if the residents of Missouri are being adequately served, and if the WAP is being operated in compliance with federal and state regulations and requirements. Information obtained by the monitoring effort is used to determine the subgrantee's:

- Internal controls and processes
- Training and technical assistance needs
- Fiscal stability
- Production rates
- Compliance with federal and state regulations and requirements
- Quality of weatherization work performed on their clients' homes

Monitoring also allows the recommendation of proactive measures to improve program operations.

A. Problem Resolution

A variety of problems, which may require different methods of resolution, may arise during the course of a program year. Most problems belong in one of four categories:

1. Reporting

Reporting problems can generally be resolved using written communication explaining the problem. Where the problem is significant, an on-site visit will be made to gather the correct data and assist the subgrantee in developing better reporting procedures.

2. Work Quality

A work-quality problem may be noticed during a field visit. Where significant problems are found in workmanship on the home(s), the subgrantee will be required to return to the home(s) and correct the problem(s). Where a problem is found to be widespread, the subgrantee will be required to notify the department of the resolution to the problem.

3. Health and Safety

For health and safety issues, the subgrantee may be required to correct all deficient work and to re-inspect all completed homes with similar concerns, providing regular updates to the department until all concerns are corrected. The department will re-inspect as needed to verify that corrections have been made either through an on-site inspection or by telephone contact with clients.

4. Fiscal Compliance

The department will require subgrantees to take corrective action when a subgrantee is not in compliance with federal and/or state requirements. The action will depend on the nature of the problem. If, for example, a problem involves a disallowed cost, the subgrantee will be required to pay for those disallowed costs with their agency's non-discretionary funds. The department will require the subgrantee to provide documented evidence of corrective action(s) when the department has determined that the subgrantee is not in compliance.

B. Monitoring Activities

The department's monitoring activities span four distinct but interrelated areas of program operations:

- Housing quality inspections
- Production and expenditure reviews
- Fiscal and program operations reviews
- Oversight of federal and/or state requirements and regulations

Implementing the department's monitoring system involves:

1. Desk Monitoring

A subgrantee is required to submit monthly reimbursement requests to the department through MoWAP by the tenth of the month, or by the first business day after the tenth if the tenth falls on a weekend or a state holiday. If a subgrantee does not have any expenditures or homes to report for a particular month, email notification must be given to the WAP Administrative Manager prior to the date the report is due.

Reimbursement to a subgrantee is based on clear, accurate tracking of expenditures and clients served. Department staff review each reimbursement submitted through MoWAP, and provide, if necessary, feedback concerning specific problems a subgrantee may be experiencing in its operations or in its compliance with grant requirements. (See Attachment 1-4; MoWAP Client File Review and Reimbursement Checklist.)

Information is collected to enable the department to gauge if the subgrantee will meet expected program benchmarks and to document issues requiring subgrantee correction.

- Federally designated expenditure categories
- Actual expenditures versus planned expenditures
- Overall expenditure rates by each subgrantee
- Characteristics of completed homes.
- Numbers of completed units per month.
- Health and safety measures and expenditures

2. Fiscal and Procedural Monitoring

The department will visit each subgrantee at least once each program year to review procedural, fiscal and compliance issues. The department will conduct a thorough review of the procedures of the subgrantee by using a standardized and extensive monitoring protocol, and will review subgrantee compliance with federal and state regulations and requirements as specified in the Missouri WAP Annual State Plan and Master files, the Missouri WAP Competitive Procurement Standards, and the department's General Terms and Conditions for Federal Subgrants. The subgrantee's annual single audit will be reviewed to ensure the audit's financial schedules match the financial reports that were submitted during the year.

3. Work Quality Monitoring

The department will schedule an on-site visit(s) to a subgrantee as necessary, but at least once per program year, to inspect the quality of work on the homes completed.

Each subgrantee is required to have, at a minimum, one certified energy auditor (BPI Building Analyst Professional), or a Quality Control Inspector (QCI) on staff. Any subgrantee without the required trained and certified energy auditor, or QCI, must submit a corrective action plan to the department, before the department will award a subgrant for the subsequent program year. The corrective action plan must outline steps that the subgrantee is taking to ensure that the QCI inspection requirement will be met. (See WAP Technical Manual – Section X.)

A representative sample of completed homes will be inspected to determine whether the work reported and materials installed comply with WAP standards. The department will have the option to inspect additional houses when implementing new measures, or when other concerns arise. Inspection checklists are used to assist the department with on-site inspections. Additional information may be obtained or requested from the subgrantee's client files to document the findings of the monitoring visit. The department will examine the following:

- Compliance with allowable WAP measures
- Quality of work
- Accuracy of the report concerning the amount of material installed on the home
- Assurance that the initial energy audit and quality control inspection are appropriate, accurate, and complete
- Inspection of materials to ensure they meet federal specifications

The department may also perform follow-up reviews of homes where additional work or corrective measures were required as a result of past department inspections.

4. Annual Single Audit Review

Each subgrantee is required to have an annual independent fiscal audit, in accordance with 2 CFR 200. A copy of the audit must be submitted to the department within nine months from the end of the agency's fiscal year, or thirty days from the date the final report is received by the agency from the audit firm, whichever is earlier. This audit shall document expenditures and compliance with regulations and requirements.

The audit firm shall use the schedules found in the WAP audit guide to present the required financial data. Results are compared to the subgrant and monthly reimbursements. (See Section 4 and Section 4 Attachments for additional information.)

IV. Notification of Personnel Changes

The department provides regular communication to subgrantees such as funding information, technical assistance, and required reports. The notification of personnel changes is intended to assist the department in getting that information to the subgrantees in a timely manner by having the correct contact information.

Written notification (email notification is acceptable) from agency management will be given to the department within fifteen (15) days any time one of the following positions is vacated or filled: Executive Director, Board Chair/President, Finance Director, Weatherization Director, Weatherization Support Staff, Energy Auditor, and Quality Control Inspector. In addition, if key weatherization personnel will be gone or unavailable for an extended amount of time, notification, in writing (email is acceptable) will be given to the department.

V. Terms for Probation, Defunding, or Penalties

The Department of Natural Resources (DNR) General Terms and Conditions, Scope of Services, and the Financial Assistance Agreement specify the criteria necessary for a subgrantee to be considered in contract compliance with DNR. Failure to maintain fiscal control, comply with federal regulations, or fulfill contract obligations will lead to probation, loss of funding, or other penalties provided in federal or state laws or regulations, DNR policies, or DNR Terms and Conditions for Federal Subgrants. The terms of the probation will depend on the specific situation. At the end of the probation period, the department will conduct a performance review. In the event a subgrantee fails to meet specified minimum standards, the department may reallocate all or part of the unobligated WAP funds to a suitable replacement subgrantee.

VI. Procedures to Terminate a WAP Subgrantee

Before termination of a WAP subgrantee, an administrative hearing process will be conducted in accordance with federal and state regulations, but only after all other reasonable alternatives have been considered.

If the department finds just cause is present to warrant termination of services by a WAP subgrantee, the Director of the Division of Energy will inform the DNR Director, in writing, of the pending termination action and will schedule a meeting with the DNR legal representative. Notification to the affected subgrantee of the pending action will occur only upon recommendation of the DNR legal representative, and will be based on documented evidence of the disputed problems. An administrative hearing official within DNR shall be appointed by the DNR Director.

The official Notice of Termination, sent to the subgrantee by certified mail with return receipt, will detail specifically (1) the disputed issues; (2) the steps taken to resolve the issues; (3) the results of those steps; and (4) detailed instructions regarding the disposition of activities and/or services, supplies, and equipment that the affected subgrantee is providing or operating under the WAP. If the disputed issues are not immediately resolved, the hearing official will schedule an administrative hearing with the affected parties. Attendance at the hearing shall be limited to DNR and the affected subgrantee. The subgrantee shall be given at least 30 working days prior to the date of the hearing to show just cause why the grant with DNR should continue.

During the hearing, both parties shall be guaranteed the right to present their cases through written and oral testimony. A permanent record of the presentations shall be made, and copies of the proceedings and all written testimony shall be made available to both affected parties. Both parties shall have at least 30 working days from the date of the hearing to submit to the administrative hearing official written responses to issues raised during the hearing. The hearing official shall have 15 working days after receiving comments to reach a conclusion. The conclusion and its justifications shall be provided, in writing, to both affected parties.

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VII. Additional Information – Helpful Websites

<https://apps5.mo.gov/MoWAP/>

The department administered website required for client file tracking and reporting of expenditures.

<https://energy.mo.gov/assistance-programs/liwap>

The department website contains a variety of information about the Weatherization Assistance Program for the State of Missouri.

<https://www.energy.gov/eere/wipo/weatherization-assistance-program>

The U.S. Department of Energy (DOE) provides information about the Weatherization Assistance Program on the national level.

<https://nascsp.org/wap/waptac/>

This site provides weatherization practitioners and other energy conservation professionals with information related to the Weatherization Assistance Program, its on-going operations, and its partnerships with stakeholders. It also contains federal WAP guidance, Program Notices, and downloads for the NEAT/MHEA audit software.

<https://nascsp.org/>

The National Association for State Community Service Programs website contains information about the Community Services Block Grant and the Weatherization Assistance Program.

<https://www.acf.hhs.gov/ocs/low-income-home-energy-assistance-program-liheap>

The U.S. Department of Health and Human Services website contains information about the Low-Income Home Energy Assistance Program (LIHEAP).

<http://www.energystar.gov/>

The U.S. Environmental Protection Agency's (EPA) website about the Energy Star program – a voluntary partnership between the DOE, EPA, product manufacturers, local utilities, and retailers to promote energy efficient products.

<http://www.homeenergy.org/>

Information on residential energy efficiency, performance, comfort, and affordability.

<http://www.bpi.org/standards.aspx>

Building Performance Institute, Inc. best practices and standards.

<https://ahridirectory.org>

Air-Conditioning, Heating and Refrigeration Institute appliance information database.

<http://www.weatherizationassistanttraining.org/>

NEAT/MHEA online training from the US DOE.

<http://wxtvonline.org/>

Technical weatherization training videos

<https://sws.nrel.gov/>

NREL Standard Work Specification (SWS) website

http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

Electronic version of 2 CFR 200 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

<http://oeo.mo.gov/>

Missouri website for Minority Business Enterprise and Women Owned Business Enterprise information and where the link to the MBE/WBE directory (below) can be found

<https://apps1.mo.gov/MWBCertifiedFirms/>

Directory for Minority Business Enterprises and Women Owned Business Enterprises

<http://www.sos.mo.gov/>

Missouri Secretary of State Website, where the link to business search (below) can be found

<https://bsd.sos.mo.gov/BusinessEntity/BESearch.aspx?SearchType=0>

Missouri Secretary of State Business Search

<https://purch.oa.mo.gov/media/pdf/suspendeddebarred-vendors>

Missouri Office of Administration list of debarred contractors

<https://sam.gov/SAM/> (You may have to copy and paste this address into your browser)

U.S. federal website where contractors can be checked for federal debarment

Section 2 – Client Services

I. Client Solicitation

Each subgrantee should publicize the WAP within its geographic area with special attention given to the recruitment of priority groups through:

- Placement of WAP information on applications for other services
- Public outreach through presentations to local civic groups, churches, schools, and others
- Media efforts through television, radio, newsprint, and social media

II. Client Eligibility

The state income guidelines are set at 200 percent of poverty to comply with the federal WAP regulations. The annual revision of poverty income guidelines are usually published in the *Federal Register* in February. The department will forward DOE's Weatherization Program Notice (WPN) *Annual Poverty Income Guidelines and Definition of Income* to each subgrantee as soon as it is issued. Subgrantee's may not begin to use the new guidelines until DOE has released the WPN, even if it has been published in the *Federal Registry*, or released by another federal program that the subgrantee administers. (See Attachment 2 - 1 at the end of this section for income guidelines.)

A subgrantee is authorized to serve clients whose names appear on Low-Income Home Energy Assistance Program (LIHEAP) lists. The Missouri Department of Social Services – Family Support Division LIHEAP client list should be used by a subgrantee when its waiting list has an insufficient number of clients within any priority group or geographic area to meet the agency's approved client targets.

A. Definition of Income

Income refers to total annual cash receipts before taxes from all sources, with the exceptions listed in Attachment 2-1. Income data for a part of a year may be annualized in order to determine eligibility.

B. Income Verification

All household income received in the three calendar months prior to the date of the application must be recorded by the subgrantee to verify income eligibility (unless the income is certified by another income-based federal program, such as LIHEAP or HUD, or unless the client is self-employed). For paystubs, always use the check date/payment date. If the application is dated April 24, for instance, all household income received in January, February, and March of that year would need to be documented. **Income must be verified within three months of the application date. If not, the application must be rejected.**

NOTE: All household income must be considered, regardless of the wage earner's age. (Please see Attachment 2-1 for more information.)

Income documentation is required for **all wage earners who reside in the home**. If an individual adult (over the age of 19) claims no income, a written statement declaring such, which is signed by that individual, is sufficient documentation and must be kept in the client file and uploaded to MoWAP. If no one in the home claims any income, a notarized zero-income form must be completed and signed by the applicant. **NOTE: If the applicant and all other household members are 19 years or younger, and they state that they have no income, then a notarized zero-income form must be completed and signed by the applicant.**

All household income sources must be entered on the MoWAP client file. MoWAP verifies the client's annualized income eligibility using the Poverty Income Guidelines published in DOE's WPN.

NOTE: When calculating income based on a client's Social Security benefit letter, any pharmacy or medical insurance premium deduction (such as Medicare) **is considered an income exclusion and should not be included in the income calculation.** (See Attachment 2-8 for step-by-step instructions on how to obtain an on-line Social Security benefit statement.)

Bank statements may not be used for income verification, and tax returns are only allowed for household members who are self-employed. Year-end tax documents such as W2s, 1099s, K-1s, etc., may **not** be used for income verification. The one exception is Form SSA-1099; **no other year-end tax documents are acceptable unless approved in writing by the State Weatherization Office.**

For the purposes of this program, a self-employed person will be defined as one who has income as an owner or partner in a business, or from rental real estate, royalties, farming, or other endeavors reported on any of lines 3, 5, 6, or 8z on Schedule 1 of their 2021 Federal Form 1040 tax return. (You will need their Form 1040 and their Schedule 1 for Form 1040; Please see Attachments 2-9.1 and 2-9.2). If all of these lines are blank, they are **not** considered self-employed (for the purposes of our program). If there **is** an amount on any of those lines (positive or negative), then they should be considered self-employed.

Then look back at line 9 on Form 1040. It says this is their total income, but it does not include the amounts on lines 2a and 3a, which may not be taxable, but are considered income by DOE. Add any amounts in lines 2a and 3a to the amount on line 9. This will be the amount you will use for the total annual income of the person listed on Form 1040, page 1 where it says, "Your first name and middle initial". If there is also a name in the space that says, "If joint return, spouse's first name and middle initial", then that amount will be the **combined, total income** for both of those people.

These numbers will be modified, if necessary, when the 2022 Federal Form 1040 is released.

Households that contain a member who has received cash assistance payments under Title IV - *Grants to States for Aid and Services to Needy Families with Children* (Temporary Assistance for Needy Families – TANF) or Title XVI – *Supplemental Security Income for the Aged, Blind and Disabled* (SSI) of the Social Security Act at any time during the 12-month period preceding their application date are automatically eligible for weatherization assistance. **Social Security Disability Insurance (SSDI) is not SSI and must be included in the household income.**

Any income documentation that has a household member’s Social Security number on it must have that number redacted before uploading the document.

Households that have qualified for or received LIHEAP assistance in the 12-month period preceding their application date may use their LIHEAP eligibility as verification of income. The **only allowable documents** to use as proof that the client was verified “income eligible” for LIHEAP assistance are printouts of either the LIHEAP E1PY Payment Information screen or the LIHEAP E1RG Registration Information screen, which the Missouri Department of Social Services/Family Support Division has made available to each subgrantee through that subgrantee’s LIHEAP program. See Attachment 2-7.1 for example of these documents. The Missouri Department of Social Services (DSS) does require the subgrantee’s Weatherization program to have a separate, signed authorization from the client stating that the client will allow the LIHEAP program to release that information. Please see attachment 2-7.2 for an authorization template.

NOTE: If the LIHEAP E1PY Payment Information screen shows zero income for the household, a zero income form does not have to be completed. However, the E1PY form must show that a LIHEAP payment was made within the 12-month period preceding the application date.

If the LIHEAP E1RG Registration Information screen is used, the STATUS field must show either “Eligible”, “Approved Payment in Process”, or “Approved” in order to use that printout for income verification. If the STATUS field says “Pending in Progress”, you will have to wait until an eligibility determination has been made by LIHEAP. If the STATUS field says “ineligible” or “denied”, then you cannot use LIHEAP as the source for eligibility documentation.

C. Income Reverification

Income must be reverified if the initial verification is a year old before the home becomes a “home in progress”. (The year is measured from the Income Verification Date to the Work Start Date.) A home in progress is a home for which Energy Conservation Measures or HVAC measures have actually commenced (work start date). **Completion of an energy audit does not constitute a work start date; nor does the hanging of smoke or carbon monoxide detectors.**

In addition, if the home does not become a “home in progress” within six months of the energy audit date, the subgrantee must return to the home and perform an on-site inspection to determine if any conditions have changed, and re-run the computerized audit. (See WAP Technical Manual, Section X, subsection B for more information.)

In order to reverify a client's income, the agency must have the client complete a Reverification Application (found under the Reports tab in MoWAP) and update the number of household members living in the home. All household income for the three calendar months prior to the date of the Reverification Application must be recorded by the subgrantee to reverify the income eligibility (unless the income is certified by another federal program, such as LIHEAP or HUD).

The new household and income information must be updated in MoWAP. Other application documentation, such as proof of home ownership or utility bills **are not** required for reverification. The agency will use the current WAP income guidelines to determine eligibility. The reverification date must be entered into MoWAP, and both the original and the reverification applications, along with the original and reverification documents, must be kept in the physical client file and uploaded to MoWAP.

III. Client Selection

The department has implemented a web-based reporting system (MoWAP) to assist with reporting, tracking, data retention, etc. This system assists with client selection through a standardized, points-based waiting list that includes the following factors to determine waiting list priority: elderly, persons with disabilities, children, number of household members, household income, primary fuel type, date of application, and optional criteria such as January fuel cost, and "Other", which would include emergency type of situations such as "no heat" or "disaster". If the January fuel cost is used as criteria for the optional client file points, it must be used for all client files throughout the grant period.

A. Prioritized Client Selection

Using the information in the client file, MoWAP automatically sorts the client file queues and develops a waiting list report using a two-part selection method: demographic priority and client selection points. MoWAP will determine the order of the files using the demographic priority data first, and then sorting those by the client selection points. The selection method provides the subgrantee the means to assure services to those who are particularly vulnerable.

1. Subgrantee Client Selection Process

- a. Subgrantees **must** select clients based on the MoWAP waiting list report.
- b. Subgrantees may modify the MoWAP selection process and advance a client on the waiting list only in the following circumstances:
 - The subgrantee needs to weatherize a home in a certain county to ensure an equitable distribution of weatherization funds among all of its counties.
 - The subgrantee needs to weatherize the home of a client who is a customer of a utility, in order to expend that utility's funds before the end of the grant. **This may only be done in the last six months of the utility's grant period without written authorization from the department.**

- The client meets any of the conditions for emergency services as outlined in Subsection III, B on page 16.
- The subgrantee is doing repair work on the home through another program, such as HeRO.

No other deviations may be made to the waiting list without written authorization from the department. Any deviation from the MoWAP waiting list requires a note describing which **one** condition above justified the move. The note must be placed in the client's physical client file, and a copy must be uploaded to the MoWAP client file.

MoWAP determines demographic priority and the number of client selection points based on the rules and formulas listed in the next section.

2. Demographic Priority

DOE requires households containing the following demographic categories to be given priority in receiving weatherization services:

- a. The elderly (any individual 60 years of age or older);
- b. Children (any dependent who is not more than 19 years of age)
- c. The handicapped (as defined in Section 7(6) of the Rehabilitation Act of 1973); and persons with disabilities (as defined in Section 1614(a)(3)(A) or 223(d)(1) of the Title XVI of the Social Security Act).

Demographic priority is indicated in MoWAP by either a green or a red icon next to the demographic priority field on all client file queues.

3. Client Selection Points

Client selection points (the secondary criteria) are determined by the number of household members, primary fuel type, very low income, the time spent on the waiting list, and the optional points for the January fuel cost and emergency situations. MoWAP uses the following calculations to determine the client selection points.

a. Points for number of household members

- 1 – 2 members = 0 points
- 3 – 4 members = 5 points
- 5 – 6 members = 10 points
- Over 6 members = 12 points

b. Points for Primary Fuel Type

Natural Gas = ccf/therms for January multiplied by .27
 Electricity = kWh for January multiplied by .027
 Propane = Gallons for January multiplied by .36
 Fuel Oil = Gallons for January multiplied by .38
 Wood = 60 points

c. Points for Very Low Income

Household Income / Income Eligibility: $t + ((m-1)*p)$ multiplied by the client's percentage of poverty

If result < 80% = 10 points
 If result < 65% = 15 points
 If result < 50% = 20 points

d. Points for Waiting Time

Points = the number of months since the date of application multiplied by 2.

e. Points for Fuel Cost as High Percentage of Income (optional)*

January fuel cost / (Household Income / 12) = X
 If X > .5 (50%) then add 20 points

**If the January fuel cost is used as criteria for the optional client file points, it must be used for all client files throughout the grant period.*

f. "Other"

This is a user input field where up to 20 points can be used to account for no heat or other emergency situations. These points may also be awarded if the client has a medical referral.

B. Emergency Services / Health and Safety

Subgrantees may provide emergency services (those that are DOE allowed measures) on an immediate basis to clients who can provide **a letter from a board certified physician, certified nurse practitioner, or certified physician's assistant stating that the occupant's life would be endangered** due to physical conditions found in the client's home. For additional technical information regarding emergency services specifically related to HVAC equipment, please reference the WAP Technical Manual, Section II, Subsection B, Topics 5, 6, and 7.

During the months of **November through March**, clients that do not have a functioning heat source may receive immediate assistance, or be given a higher priority on the waiting list. If a household does not have a functioning heat source, or there is a health and safety problem that may warrant shutting off a combustion appliance (and the home does not fall within the required minimum subgrantee deferral policy (see WAP Technical Manual, Section II, Subsection D)), then a physician's statement is not required. The subgrantee must verify that these conditions (non-functioning or hazardous heat source) exist at the client's home.

Documentation of the need for emergency services and physician letters (if applicable) must be uploaded to the MoWAP client file. **The Work Order Measure Type for emergency services must be entered as Emergency Replacement/Repair in the MoWAP client file.**

Use of WAP funds for emergencies and/or health and safety issues must also adhere to the following policies:

- Maximum cost limitations will be followed.
- Only clients who are (1) eligible for WAP services and (2) on the subgrantee's waiting list may receive services.

(See Section III, Subsection L, Topic 3, *Air Conditioner and Heat Pump: Health and Safety Replacement or Installation*, in the WAP Technical Manual regarding policies concerning the replacement of air conditioners and heat pumps for health and safety issues.)

IV. Conflict of Interest Policy

The subgrantee must notify the State Weatherization Office in writing (email is acceptable) as soon as they become aware of a potential conflict of interest. A potential conflict of interest exists when one of the following occurs:

- A subgrantee's employee or board member, or an employee or board member's family member (see definition below) applies to and qualifies for the Weatherization Assistance Program.
- A subgrantee's contractor or the contractor's employee applies to and qualifies for the Weatherization Assistance Program.
- The owner or an employee of a subgrantee's contractor is related to an employee or board member of the subgrantee.
- The tenant of a home owned by a subgrantee's employee, board member, or contractor applies to and qualifies for the Weatherization Assistance Program.
- The subgrantee wishes to weatherize a property that it owns.

None of these situations prevents weatherization from being performed. However, steps must be taken to ensure the transparency of the project, thereby protecting the reputation of the program.

Please provide the following documentation when notifying the State Weatherization Office of a potential conflict of interest:

- **If a household member is an employee or board member of the subgrantee:** Please provide the employee or board member's name, their position and program at the agency, and

the MoWAP job number that has been assigned to that home, and upload all of the intake documentation to that client file in MoWAP.

- **If a household member is a relative of an employee or board member of the subgrantee:** (Please see below for the definition of relative.) Please provide (1) the applicant's name; (2) the name of the employee or board member that the household member is related to; (3) how the household member is related to the employee or board member; (4) the employee or board member's position and program at the agency; and (5) the MoWAP job number that has been assigned to that home. Upload all of the intake documentation to that client file in MoWAP.
- **If a household member is an employee of a subgrantee's contractor:** Please provide the name of the contractor, the name of the household member who works for the contractor, and the MoWAP job number that has been assigned to that home. Upload all of the intake documentation to that client file in MoWAP.
- **If an owner or employee of the subgrantee's contractor is related to an employee or board member of the subgrantee:** Please provide the name of the contractor, the name of the subgrantee's employee or board member that the contractor or his/her employee is related to, and the subgrantee's employee or board member's position and program with the agency. The State Weatherization Office will provide guidance on a case-by-case basis, based on the circumstances involved.
- **If the tenant of a home owned by a subgrantee's employee, board member, or contractor applies to and qualifies for the Weatherization:** Please provide the name of the client, the MoWAP job number, and the name of the employee, board member, or contractor who owns the home. The State Weatherization Office will provide guidance on a case-by-case basis, based on the circumstances involved.
- **If the subgrantee wishes to weatherize a property that it owns:** Please provide a written request, along with the address and type of property (single family, duplex, etc.) that you wish to weatherize, and documentation showing that the subgrantee owns the property. A separate authorization is required for each building or structure, but all multi-family units under the same roof are covered by a single authorization.

Per department Administrative Policies and Procedures:

No party to this subgrant, nor any officer, agent, or employee of either party to this subgrant, shall participate in any decision related to such subgrant, which could result in a real or apparent conflict of interest, including any decision that would affect their personal or pecuniary interests, directly or indirectly.

The subgrantee is advised that, consistent with Chapter 105, RSMo, no state employee shall perform any service for consideration paid by the subgrantee for one year after termination of the employee's state employment by which the former state employee attempts to influence a decision of a state agency. A state employee who leaves state employment is permanently banned from performing any service for any consideration in relation to any case, decision, proceeding, or application in which the employee personally participated during state employment.

Subgrantee and state employees or their relatives shall not engage in any activity or employment in which there is significant potential for or the appearance of a conflict of interest with functions of LIWAP. Conflict of interest is any activity or employment that would tend to influence a decision; create a bias or prejudice which would favor one side or the other in conflict with the employee's duties; or which conflicts with the accomplishment of LIWAP's mission.

Preferential treatment, or the appearance of preferential treatment in 1) determining eligibility; 2) altering the time frame in which the client is served without just cause; 3) installing excessive measures or measures that are not normally installed by that subgrantee; or 4) expending an amount of funds on the home that is significantly in excess of the subgrantee's average cost per unit, could constitute a conflict of interest.

A "relative" is defined as an employee or board member's spouse, child, grandchild, parent, grandparent, brother or sister (including half-brother and half-sister), their spouses, and the parent, brother, sister or child of an employee's spouse; or a Domestic Partner (defined, for the purposes of this policy only, to mean: an adult (18 years of age or older) of the same sex or opposite sex who: (i) is not related to the employee under the definitions above; and (ii) who shares a primary residence, or otherwise is in a relationship of mutual financial support with the employee; and (iii) who intends to remain in such relationship for the indefinite future.

For purposes of this policy, "conflict of interest" describes any circumstance that would cast doubt on an employee or contractor's ability to act with objectivity in the performance of the duties of the LIWAP. Activities that could raise a question of conflict of interest include, but are not limited to, the following:

1. Having a direct connection to the weatherization process of one's own home, a relative's home, or a property owned by the subgrantee, or one of the subgrantee's contractors.
2. Having multiple duties within the subgrantee organization without oversight (segregation of duties).
3. Outside employment with a contractor that provides LIWAP services.

Subgrantee or state employment does not constitute an automatic bar from receiving LIWAP services. Subgrantees with an employee, board member, or contractor (or an employee's, board member's, or contractor's relative) wishing to receive LIWAP services must contact the department in writing (email is acceptable) for approval immediately upon receiving the employee's/board member's application, or the employee's/board member's relative's application. The department must be notified immediately upon becoming aware of a conflict involving a contractor. After the audit, the subgrantee must submit the NEAT/MHEA Input Report and Recommended Measures to the department for approval before any materials are purchased for the home, and prior to any work being done on the home. If no conflict is determined, the department will provide written approval to the subgrantee to proceed with weatherization. That approval must be placed in the client file and uploaded to MoWAP. The department may not provide reimbursement for homes weatherized in which there was a conflict of interest. If the employee leaves employment with the subgrantee at any time after the department has been notified, the subgrantee must continue to treat the home in the same manner as if the employee had not left.

The subgrantee must also follow any part of its own conflict of interest policy that is not addressed in the department conflict of interest policy.

V. Dwelling Characteristics

A. Documentation Requirements

A subgrantee shall maintain a geographic cross-reference file that documents the WAP services performed on specific homes and shall consult this file prior to weatherizing a home to determine if the home has been previously weatherized. The subgrantee is required to record, on a high quality, long-lasting material, in two locations, the name of the homeowner, the date the home was weatherized, and the agency job number.

In a site-built home, this information shall be attached to the electrical panel (preferred), attic rafter, basement floor joist, domestic water heater, or heating system. For mobile homes, this information shall be attached to the electrical panel (preferred), water heater compartment, or heating system compartment. Until the information has been recorded, the home is not considered “completed.” Subgrantee energy auditors shall not authorize WAP services before checking the above locations for proof of prior service.

People applying for re-weatherization (homes weatherized no less than 15 years earlier) must be placed on the waiting list in an order commensurate with the time of reapplication. Before WAP services are approved, verification of current income eligibility is required.

B. Dwelling Eligibility

1. Single Family

Single-family dwellings, whether they are site built or mobile homes, or whether they are owner-occupied or tenant occupied, are eligible for weatherization as long as the occupants of the home meet the income guidelines, provided all of the following apply:

- a.** The home is not for sale, in foreclosure, vacant, and is not designated for clearance or acquisition (See Subsection V, C and D in this section.)
- b.** The home is not located in an area that has been identified by the Federal Emergency Management Agency (FEMA) as a flood plain. (See Subsection V, F in this section.)
- c.** No condition in the home violates the subgrantee’s home deferral policy.

2. Multi Family

Multi-family dwellings are buildings that do not fall under the DOE definition of a single-family unit, which is “a structure containing no more than one dwelling unit”.

Buildings with two or more dwelling units may be weatherized, however, special approval from the department is required for buildings with five or more units under a single roof. (See Subsection VII, A in this section.)

Connected **condominiums** or **row houses** may be weatherized as single-family units if they have independent mechanical systems, and are attached by vertical walls that have no penetrations from the foundation to the highest point of conditioned space. (See WPN 22-12 Frequently Asked Questions, page 5.) If they are owner-occupied, they must also be individually deeded.

3. Re-weatherization

Dwelling units weatherized (including dwelling units partially weatherized) under this part, or under other federal programs (in this paragraph referred to as ‘previous weatherization’), may not receive further financial assistance for weatherization under this part until the date that is 15 years after the date such previous weatherization was completed. This paragraph does not preclude dwelling units that have received previous weatherization from receiving assistance and services (including the provision of information and education to assist with energy management and evaluation of the effectiveness of installed weatherization materials) other than weatherization under this part or under other federal programs, or from receiving non-federal assistance for weatherization.

The 15 years is measured from the final inspection date when the home was previously weatherized, to the audit date of the current weatherization service. Subgrantees may not take applications from clients in previously weatherized homes until one month before the full 15 years has passed, and the audit may not be performed until the full 15 years has passed.

Homes weatherized under this provision are counted as completed homes. On the MoWAP Intake screen the, “Previously Weatherized” dropdown box should be marked as, “Yes” and then the, “Date Last Weatherized” field must be completed. If the exact Final Inspection date is not available, the “Previously Weatherized” date will be the last day of the month in which it was submitted as a completed home.

4. Proof of Home Ownership

Proof of ownership must be provided by the client at the time of application. The document submitted must specify the location of the property being weatherized. This may be the legal description, or a common (street) address. At least one of the following documents must be provided:

a) For Site-built Homes

- A recorded Missouri Deed
- A recorded mortgage agreement for real estate
- A current, **paid**, real estate/real property tax receipt (dated less than one year prior to the application date) which contains the name of the applicant and the address of the property
- A current homeowner's insurance policy

- A mortgage statement – It must be in the client’s name, be dated within 12 months of the application date, and have a property address listed (not just a mailing address) which matches the address of the home being weatherized.
- A Contract for Deed -- A Contract for Deed is an allowable document to provide proof of home ownership **if** the contract is recorded with the Recorder of Deeds Office in the county where the home is located. If the Contract for Deed is not recorded, then the home must be considered a rental unit and rental procedures and policies would apply. (See VII. Rental Properties, Section 2).

b) For Mobile Homes:

- A Missouri Certificate of Title
- A recorded Missouri Deed for the property the mobile home sits on.
- A current, **paid**, real estate/real property tax receipt (dated less than one year prior to the application date) which contains the name of the applicant and the address of the property the mobile home sits on.
- A recorded mortgage agreement for the mobile home (must include the V.I.N.).
- A current homeowner’s insurance policy.
- A mortgage statement – It must be in the client’s name, be dated within 12 months of the application date, and have either the VIN of the mobile home or the property address (not just a mailing address) of the land the mobile home sits on.
- A current, **paid**, personal property tax receipt (dated less than one year prior to the application date) which contains the name of the applicant and the V.I.N. of the mobile home. NOTE: a mobile home may not be listed on a personal property tax receipt. In this circumstance a Personal Property Assessment List from the County Assessor’s office with the mobile home’s V.I.N. would need to accompany the paid personal property tax receipt.

Probate Property Transfer

Probate Property Transfer is when an elderly person (or people) deeds property to his or her children in an effort to prevent probate issues. If the applicant has deeded the home to his or her children for this purpose, and is currently occupying the home, the property may be treated as “owned property” for purposes of weatherization. The applicant must provide a written statement (which is signed by the applicant and any children listed on the deed) that the home was transferred for probate reasons, and that they will not charge rent or displace the applicant after weatherization services have been provided. The application and statement must be reviewed and approved by the department before the energy audit has been performed.

5. Weatherizing Shelters

A shelter is defined in 10 CFR 440.3 as a dwelling unit or units whose principal purpose is to house, on a temporary basis, individuals who may or may not be related to one another and who are not living in nursing homes, prisons, or similar institutional care facilities.

Subgrantees must request written approval from the department to weatherize shelters for the homeless, group homes or homes providing transitional living if the buildings are owned by a not-for-profit agency and are used exclusively to provide temporary living quarters for the homeless, battered women or other WAP-eligible people as defined under 10 CFR 440.3.

To calculate the number of units, use either of the following methods:

- Square footage: Divide the total square footage of living space by 800 and round to the nearest whole number. To determine allowable funding, multiply the rounded number by the current allowed expenditure per home.
- Each Floor: Count each floor as a separate dwelling unit.

6. Tiny Homes, Sheds, RVs, and Travel Trailers

The following are precepts for determining whether a non-traditional home may be weatherized. These are the minimum standards that the home must meet in order to be weatherized.

It must have metered electric service. Electric service is required to meet ASHRAE standards. The electric service must be on its own meter, and the account must be in the occupant's name.

- It must have a legal human waste disposal system (can be indoor or outdoor).
- The exterior walls and roof must be clad in material that is designed for long-term, outdoor exposure.
- The interior walls must be finished with plaster, sheet rock, plywood, or luan.
- It must sit on a concrete pad, cinder blocks, or gravel sufficiently deep to prevent contact with any earthen surface. A tiny home may be securely fastened to a trailer.

Ownership:

- If it is an RV or travel trailer it will have a VIN, and any of the ownership documents allowed for a mobile home will be acceptable.
- If it is a tiny home or a shed, a bill of sale in the occupant's name will be sufficient to prove ownership.

C. Homes Designated for Acquisition or Clearance

Homes located in areas designated for acquisition or clearance by a federal, state or local program shall not be weatherized.

D. Homes for Sale, Homes in Foreclosure, and Vacated Homes

If the subgrantee discovers at any time before work is completed on the home:

- 1) that the home is for sale;
- 2) that the home is in foreclosure;
- 3) that the client is planning to vacate the property before or shortly after completion of the weatherization work; or
- 4) any other information that would indicate that the client may not be living in the home in the near future;

All work on the home must stop immediately, and the department must be notified. Work may not resume on that home until the department has given instructions on how to proceed.

E. Homes Damaged By an Act of God

WAP funds may be used to weatherize a home previously weatherized if the home has been damaged by a fire, flood or events outside human control, providing the repair of damages to the WAP materials is not paid for by insurance. The department must be notified before any work begins on the home.

If a home has been partially damaged, damaged materials that were installed by the WAP may be replaced. The subgrantee should identify this as a home on which additional work was required and charge the cost of materials to “Materials on Homes Completed.” However, it may not be reported as a new completion.

If the home has been significantly damaged, and is then restored or completely rebuilt, it may be completely re-weatherized and reported to the department as a newly completed home. People applying for re-weatherization must be placed on the waiting list in an order that corresponds to the time of reapplication. Before further WAP services are approved, recertification for income eligibility is required.

F. Flood Plain

Federal funds may not be used to weatherize a home located in an area that has been identified by the Federal Emergency Management Agency (FEMA) as a flood plain if the community in which the home is located has chosen not to participate in the National Flood Insurance Program (NFIP) (Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234.87 Statute 975).

FEMA identifies a community as a village, town, city or county. If a community with an identified flood plain is not a participant in the NFIP, the community is “sanctioned,” meaning that federal funds may not be used for projects located within the flood plain area. However, a home located in a sanctioned community, but not within a flood plain, may be weatherized. Therefore, individual eligibility for WAP services in the area depends upon community participation in the NFIP *and* the location of the home in reference to a flood plain.

For copies of the *National Flood Insurance Program Community Status Book*, which identifies sanctioned communities, please visit: <http://www.fema.gov/national-flood-insurance-program/national-flood-insurance-program-community-status-book> or call the FEMA Map Information Exchange at 877-336-2627.

VI. Disaster Plan

Declaration of a disaster for WAP purposes is determined by a Presidential or Gubernatorial order declaring either a federal or state emergency. It may be the result of natural or man-made factors. The department's WAP, through its subgrantee network, will assist state and community authorities in normalizing areas affected by a disaster by providing WAP resources, in a limited capacity, to assist Missouri low-income citizens in recovering and rebuilding after the disaster. As per DOE Weatherization Program Notice 12-07, the use of DOE WAP funds is limited to eligible weatherization activities and the purchase and delivery of weatherization materials.

The WAP will adhere to the following guidelines when responding to any disasters in which the low-income population has been affected. These guidelines are intended to maximize the assistance we are able to provide while protecting the limited resources of the program.

Disaster-mitigation planning activities shall be implemented as soon as practical after the declaration of a disaster. A WAP subgrantee shall not commit WAP resources (labor or financial) until it receives approval from the department.

WAP funds used for disaster related activities will be allocated based on the extent of the disaster in each subgrantee area. WAP disaster funds may be utilized from the subgrantees' or the department's unspent allocation. Funds must supplement, not supplant, other funds available for disaster assistance. All funds received by the client to cover damages must be considered prior to the allocation of WAP resources. Attachment 2-2, the Disaster Certification form located in the Missouri Weatherization Program Operations Manual, should be completed for each client requesting disaster assistance.

Safety measures, such as levees or other protections, should be in place prior to mitigation activities. Agency staff should consult with local utilities to ensure electric, gas and sewer hazards have been corrected or repaired.

A. Allowable Disaster Activities

Allowable expenditures under WAP include:

1. The cost of incidental repairs to a dwelling unit if such repairs are necessary to make the installation of weatherization materials effective.
2. The cost of eliminating health and safety hazards, elimination of which is necessary before the installation of weatherization materials (10 CFR 440.18(d)(9); 10 CFR 440.18(d)(15)). To the extent that the services are in support of eligible weatherization (or permissible re-weatherization) work, such expenditure would be allowable. For example, debris removal at a dwelling unit so that the unit can be weatherized would be an allowable cost. Debris removal from a dwelling unit that is not to be weatherized would not be an allowable cost. Please note that the current year's average cost per unit limit from DOE continues to apply.

NOTE: Permissible re-weatherization as per DOE guidelines state: In the event of a declared federal or state disaster, weatherization crews may return to a unit reported as a completion to DOE that has been “damaged by fire, flood or act of God to be re-weatherized, without regard to date of weatherization”, 10 CFR 440.18(f)(2)(ii). Local authorities must deem the dwelling unit(s) salvageable as well as habitable and if the damage to the materials is not covered by insurance or other form of compensation.

3. Weatherization personnel can be paid from DOE funds to perform functions related to protecting the DOE investment. Such activities include securing weatherization materials, tools, equipment, weatherization vehicles, or protection of local agency weatherization files, records and the like during the initial phase of the disaster response. Using DOE funds to pay weatherization personnel to perform relief work in the community because of a disaster is not allowable.
4. Local agencies may use weatherization vehicles and/or equipment to help assist in disaster relief provided the WAP is reimbursed according to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR 200.

B. Eligibility Requirements

WAP subgrantees must ensure that applicants for disaster assistance

- Meet the current eligibility requirements.
- Are located within the designated disaster area.
- Have been directly affected by the disaster. Homes located in a FEMA-sanctioned area are not eligible for assistance.

Applicant homes must be certified as habitable, and a disaster certification form must be completed, signed and retained in the client file. The owner of a rental unit must list the property with Section 8 or provide other proof that the unit will remain exclusively for the low-income. Landlord contributions may be requested or required, as applicable.

Client income eligibility may be based on one month's income if all other income documentation was lost in the disaster. WAP rules require that priority be given to identifying and providing weatherization assistance to elderly persons, persons with disabilities, families with children, high residential energy users, and households with high energy burdens (10 CFR 440.16(b)). However, it would be permissible to consider households located in the disaster area as a priority as long as the households are eligible, meet one of the priorities established in regulation, and are free and clear of any insurance claim or other form of compensation resulting from damage incurred from the disaster.

C. Equipment Procurement

All purchased items should meet minimum energy-efficiency ratings as detailed in 10 CFR 440, Appendix A. Subgrantees must comply with all requirements specified in 2 CFR 200 and 10 CFR 440 and the requirements specified in the DNR General Terms and Conditions for Federal Subgrants, and the Missouri Weatherization Program Operations Manual's Competitive Procurement Standards.

D. Additional Non-DOE Funding

If additional funds are received from the department or other non-DOE fund sources, a subgrantee may allocate up to \$10,000 per unit.

E. Disaster Expenditures Accountability and Reporting

Disaster expenditures must be accounted for and reported separately from other costs. The monthly MoWAP reimbursement must show these expenses under "disaster". The costs will be included in the averages.

VII. Rental Properties

A. Special Requirements

The Division of Energy permits rental units to be weatherized using special considerations. A building containing rental units may be weatherized if it complies with income criteria and:

1. The subgrantee has written permission from the owner or his/her agent to perform weatherization services. Such written permission shall also state that the occupants' rents will not be increased because of the weatherization services. The form must be uploaded to the MoWAP client file for each unit that is weatherized. (See Attachment 2-5 for the *Landlord/Authorized Agent Agreement and Certification* form.)
2. Not less than 66 percent (50 percent for duplexes and four-unit buildings, and certain eligible types of large multi-family buildings) of the dwelling units in the building:
 - Are units which house income-eligible families; or
 - Are units which will house income-eligible families within 180 days under a local government, state, or federal program for rehabilitating building, or making similar improvements to the building.

In WPN 16-5, DOE offered flexibility by adding certain eligible types of large multi-family buildings to the list of dwellings that are exempt from the requirement that at least 66 percent of the units must be occupied by income eligible persons. In these large multi-family buildings, as few as 50 percent of the units, would have to be certified as eligible before Weatherization can be offered. This exception would apply only to those large multi-family buildings where an investment of DOE funds would result in a significant energy-efficiency improvement because of the upgrades to equipment, energy systems, common space, or the building shell. By providing this flexibility, local agencies will be better able to select the most cost effective investments and enhance their partnership efforts in attracting leveraged funds and/or landlord contributions. This flexibility does not apply to any other type of multifamily unit.

Vacant units must have their own client file in MoWAP. An application is not required, but a signed Landlord Agreement form is.

Ineligible units that become eligible because of other units in the building must have a signed application on file because of the legal information on the back of the application. However, the occupants are not required to disclose income or demographic information. If they do include demographic information (number of occupants, ages, disability, veteran status) be sure to include that information in MoWAP so your agency will get credit for serving those clients. A signed Landlord Agreement form is required, unless the previously ineligible unit is occupied by the owner. In that case, proof of ownership would be required.

Multi-family buildings with more than five units under the same roof require approval of the computerized audit from both the department and DOE (through the department).

B. Contributions

Landlords are encouraged (but not required) to provide a minimum of a five percent (5%) cash contribution of estimated labor and material project costs before weatherization work begins on a home (this includes single family units and two to four unit multifamily buildings.)

However, for large multi-family structures (those with five or more units under one roof), the State has determined the owner/landlord will be required to contribute a minimum of a twenty percent (20%) cash contribution of the estimated weatherization project cost. However, properties wholly owned by not-for-profit organizations or federal, state, or local government entities will not be required to make a cash contribution.

Contributions received from the owner/landlord are not to be reported as Program Income. Contributions must be applied to the cost of the home being weatherized (labor and material costs) in order to reduce that home's weatherization expenditures. The landlord contribution is entered on the MoWAP client file during the Pre-Audit stage.

C. Undue Enhancement

10 CFR 440.22 states that "No undue or excessive enhancement shall occur to the value of [rental] dwelling units." The department recognizes the potential for the value of rental properties to be excessively or unduly enhanced through weatherization services, thereby benefitting the owner of the property more than the low-income tenant(s).

However, DOE has determined that the eligibility for heating systems, cooling systems, water heaters, and refrigerators that cost test as energy conservation measures in rental units may not be restricted or treated differently than owner occupied properties.

Therefore, as of July 1, 2019, the installation of heating systems, cooling systems, water heaters, and refrigerators are eligible as energy efficiency measures in rental properties, following the same requirements as owner occupied units. The verification of property ownership for owner occupied units will still be necessary, as will landlord agreements, as the owner of the property must give their written agreement for the property to be weatherized.

Individual subgrantees may not be more restrictive with what energy efficiency measures are eligible in a rental property compared to an owner occupied property. However, subgrantees may be more restrictive with health and safety measures in rental properties. The subgrantee may elect to restrict certain health and safety improvements to rental properties; however, this must be spelled out in the subgrantee deferral policy. For example, the agency may defer a rental unit if the landlord has not provided the client with a safe heating system. However, if the rental unit has an existing operating heating system and it is evaluated as cost effective to upgrade, then the unit must be replaced, just as in an owner occupied unit.

If a subgrantee decides to restrict certain health and safety measures in rental units, they must provide details of the restrictions in their approved deferral policy, and consistently apply that restriction to all rental units.

D. Dispute Resolution Procedures Involving Rental Units

In the event the client believes the Owner/Authorized Agent Certification agreement has been violated, he or she may notify the subgrantee providing WAP services. The subgrantee must make an effort to apprise the landlord of the situation. If the landlord does not agree to correct the alleged violation, the subgrantee must defer to the department. The department will make all efforts to contact the landlord and resolve the complaint. If the situation cannot be resolved at the department level, the department recommends that the subgrantee advise the client/tenant to contact Legal Services of Missouri. (See Attachment 2-6 for Legal Services of Missouri contact information). The subgrantee will be responsible for following up with the client to determine if the complaint was resolved. The department must be notified when a resolution is reached.

VIII. Client Education

Client education is an effective method of improving the impact of WAP measures. These efforts include fact sheets, brochures, the department's website, and one-on-one contact. Subgrantees play a vital role in expanding client education activities at the local level. Local activities include client workshops, providing Energy Saver Booklets, client interviews and instruction when performing the energy audit and quality control inspection at the home, the explanation of information found in the Lead and Mold EPA pamphlets, local newspaper articles, and radio and television spots. Additional examples of on-site client education include demonstrating to the client how to properly operate appliances installed such as ventilation fans and smart thermostats, changing furnace/air conditioner filters, etc.

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Section 3 – Reporting and Recordkeeping

I. Reimbursement and Client File Requirements

The purpose of this section is to inform subgrantees of specific documentation needed for each weatherization reimbursement and client file. This section also provides general guidance to subgrantees on how to comply with requirements specified in 10 CFR 440.16(g) on reporting completed homes. The state and each WAP subgrantee receiving federal financial assistance will keep records and make reports as required by 10 CFR 440.24 and 10 CFR 440.25.

The department has developed a web-based program called MoWAP to assist with reporting, tracking, data retention, etc. MoWAP can be accessed at <https://apps5.mo.gov/MoWAP/>. This program allows subgrantees to track client files through all stages of weatherization. Required forms and documentation must be uploaded into the reimbursement and the individual client file.

DOE funds are indirectly utilized on all units through auditing, testing, inspections, use of DOE funded equipment and/or vehicles, or DOE funded training. Because of this, **a minimum of \$100 in material and/or labor expenditures per unit must be reported on a DOE reimbursement.** See DOE WPN 12-1 for more information. In addition, a minimum of \$100 of material and/or labor expenditures per completed home must be charged to each department administered, non-DOE fund source that the subgrantee chooses to use on that unit. See Section 4, Subsection I, D, 4.

II. Required Documentation to be Uploaded on the MoWAP Reimbursement

Each reimbursement must contain the following documents:

A. General Ledger/Working Papers

The general ledger/working papers (including labor and material charged to the reimbursement) must be uploaded to MoWAP. If there are reported homes that are split funded, there should be a breakdown by fund source sheet uploaded.

B. Expenditures

The expenditures on the reimbursement and the general ledger/working papers must be reviewed to ensure that they are allowable per grant guidelines. The expenditures on the reimbursement must be posted to the general ledger/working papers. The total on the general ledger/working papers **must** match the total expenditures on the MoWAP reimbursement. Any reason for variances must be noted on the general ledger/working papers.

C. Reported Homes

The general ledger/working papers should include references to the homes attached on the reimbursement, and include contract labor, crew labor, and materials. This **must** match the MoWAP reimbursement.

III. Required Forms and Documentation to be Uploaded on the MoWAP Client File

Each reported client file must contain the following uploaded documents:

NOTE: Unless there are specific circumstances approved by the department, these documents must be uploaded to each client file in MoWAP individually and not uploaded as multiple documents under the “All Required Documents” option. However, the department understands that it may be more time consuming to upload all documents individually. For that reason, the following documents may be combined under “All Required Documents” when uploaded to MoWAP:

- Application, Social Security Card, Proof of Income Documentation
- Reverification Application and Reverification of Income Documentation
- The Landlord Agreement Form and Landlord Contribution
- The NEAT/MHEA Input Report and Recommended Measures
- The Mechanical Systems Audit Form, Combustion Appliance Spillage Test Form, Diagnostic Field Form, and Baseload Replacement and Ventilation Audit Form, and (if applicable) Incidental Repair Justification Form
- The Daily CAZ Testing form(s)
- The Invoices and Individual Bids documents

Combined documents should be listed under the “Description” field on the MoWAP document upload screen. All other required documents should be uploaded separately.

Any income documentation that has a household member’s Social Security number on it must have that number redacted before uploading the document.

If a document does not apply to the client file (e.g. Incidental Repair Justification Form on a home with no incidental repairs), please **do not** upload a blank document.

A. The Application Form

This form is generated by MoWAP. Completed applications can be generated after the client file has completed the intake stage. Blank applications are available under the reports tab of the main menu. Signed application forms must be uploaded to the client file.

B. Applicant Social Security Card

A copy of the applicant's social security card, or a third party form, (W2, SS/SSI letter, etc. that clearly shows the client's printed name and entire nine-digit Social Security number) must be uploaded to the client file. However, the first five numbers must be redacted before the document is uploaded.

C. Proof of Income Documentation

All income documentation for the household must be uploaded to the MoWAP client file, including, but not limited to:

- Paycheck stubs for all household members who receive wages
- Award letters for all government payments (Social Security, Veterans benefits, etc.)
- Federal 1040 tax returns (only for household members who are self-employed). Must include the Schedule 1 form (see Attachments 2 – 9.1 & 2 – 9.2).
- LIHEAP EIPY or EIRG screen printouts (see Attachment 2 – 7.1).
- Notarized zero-income forms. This is an agency-developed form. If the applicant claims that no one in the home receives income of any kind, this form must be notarized. If any individual claims that they do not receive income of any kind, the form must be signed by that person, but does not require notarization.
- Signed statements of zero income (from anyone in the home over the age of 19 who claims that they do not receive any income)
- Workers' compensation or unemployment payment documents

Detailed information on income can be found in Section 2, Subsection II, B, beginning on page 11 of this document.

D. Reverification Application (if applicable)

If client reverification was required (see Section 2, Subsection II, C for requirements) the reverification application, as well as the original application, must be uploaded.

E. Reverification of Income Documentation (if applicable)

The same types of documentation listed in Subsection II, C (above) must be used to determine if the household is still income eligible. These documents, as well as the original income documents, must be uploaded.

F. Proof of Home Ownership

A detailed list of acceptable proof of ownership documents can be found in Section 2, Subsection V, B, 4, beginning on page 19 of this manual. These documents must be uploaded to the client file.

G. Landlord Agreement Form and Proof of Contribution (if applicable)

This form (Attachment 2–5.1) provides authorization from the client's landlord to weatherize the client's home, and agree to specific requirements as outlined in *Section 2*. Completed landlord agreement forms can be generated on MoWAP after the client file has completed the intake stage. Blank landlord agreement forms are available under the reports tab of the main menu. Completed landlord agreement forms must be uploaded to the client file. If the landlord provides a contribution, a copy of the proof of contribution (check or agency receipt) must be uploaded to the MoWAP client file.

H. Utility Bill(s)

A copy of the client's utility bill(s) must be uploaded to the client file in MoWAP. The document(s) must clearly show (1) the client's name, (2) the client's account number, (3) the service address, and (4) the utility's name. The service address on the utility bill must match the address of the weatherized home. If the name on the utility bill is not the client's name, a note explaining whose name is on the account must be entered in the comments box of the MoWAP client file.

I. Section 106 Documentation (if applicable)

The Section 106 Project Information Form and associated response letter(s) must be uploaded to all client files reviewed by the State Historic Preservation Office.

J. Project Photographs

One clear color photograph showing the entire front of the building or structure taken from the street, sidewalk or front yard must be uploaded to all client files. **For homes with like-kind door replacements that are exempt from Section 106 review by activities, but not exempt by age, a picture of the original and replacement doors must be uploaded.**

K. Client Interview & Auditor Assessment Form

This technical form is completed by the auditor at the time of the initial audit. It may be signed, or the auditor's name may be typed or printed. (See LIWAP Technical Manual Attachment 2.2)

L. NEAT and MHEA Audit Data

The NEAT/MHEA Input Report and the NEAT/MHEA Recommended Measures that document all energy efficiency and incidental repair measures installed in the home must be uploaded to the client file. **The Recommended Measures should not be run after the Quality Control Inspection without department approval.**

M. Mechanical Systems Audit Form

This form contains all required diagnostic testing information for the combustion appliances. This also includes the combustion gas analyzer printouts. (See LIWAP Technical Manual Attachment 2.5)

N. Combustion Appliance Spillage Test Form (if applicable)

This form, if applicable, is completed both during the initial audit and during the quality control inspection. (See LIWAP Technical Manual Attachment 2.3)

O. Diagnostic Field Form

This technical form is partially filled out during the initial audit, and completed during the quality control inspection. (See LIWAP Technical Manual Attachment 2.4)

P. Baseload Replacement and Ventilation Audit Form

This form contains information regarding a home's existing refrigerator (and new refrigerator model information if a new refrigerator is installed), incandescent lighting, shower heads and mechanical ventilation. (See LIWAP Technical Manual Attachment 2.6)

Q. Incidental Repair Justification Form (if applicable)

This form contains information regarding the justification for the measure and the ECM that the incidental repair is associated with. (See LIWAP Technical Manual Attachment 2.7)

R. ASHRAE 62.2 Form

This form is an excel spreadsheet which is used to determine ventilation requirements for a home. It must be completed electronically and uploaded to the client file. The auditor and QCI will each complete this spreadsheet, however only the final version is required to be uploaded. (See LIWAP Technical Manual Attachment 2.8)

S. Work-Order Change Notices (if applicable)

This form is an agency-developed form that should include all additions or deletions to the job. The auditor, crew supervisor, QCI, or other designated subgrantee personnel should sign and date the form. **The change notices must be documented on the MoWAP client file work order.**

T. Hazard Identification and Notification Form

Two copies of this form must be completed at every home. One signed copy must be left at the home and one signed copy must be uploaded to the MoWAP client file and then placed in the client's physical file. (See LIWAP Technical Manual Attachment 2.5)

U. Individual Bid Documents

Bid documents for all home-by-home bids (HVAC replacements only) including copies of the winning bid, all non-winning bids, and department approval if less than three bids were received.

V. Invoices, Bills for Materials and Labor Charges

Contractor invoices must be submitted on the contractor's letterhead and should include the following information: company name, contact information, dates of service, job number and/or client's name, quantity of material and labor by unit, description of service with individual measures documented (as defined by NEAT/MHEA), and costs broken out by material and labor.

In addition, for all HVAC equipment (including window air conditioners), hot water heaters, ASHRAE fans, and refrigerators, invoices must include the make, model number and serial number of the equipment. ASHRAE fans require a make and model number only. Invoices must be uploaded to the client file, and costs should be easily tracked to the contractor's bid documents.

WPN 17-7 Attachment B requires all weatherization workers (Contractor or Crew) to **“Test naturally drafting appliances for spillage and CO during CAZ depressurization testing pre- and post-weatherization, and before leaving the home on any day when work has been done that could affect draft.”** Therefore, contractor invoices must include the Work Start and Work End dates that the contractor was at the home. (See attachment 3-5 for a contractor invoice example.)

For agencies that have a crew(s) but **do not keep an inventory of weatherization materials**, invoices or receipts for all materials purchased for the home must be uploaded to the client file.

For agencies that have a crew(s) and **do keep an inventory of weatherization materials**, a sheet that identifies the quantity and price of inventoried materials used for the home must be uploaded to the client file. If there are materials purchased for the home that are not part of the agency's inventory (e.g., special order items) invoices or receipts for those materials must be uploaded to the client file. **All prices must be traceable to the original invoice price at which they were purchased.**

Please note that all materials purchased for the weatherization program should be tax exempt.

For agencies that have a crew(s), a labor worksheet or other documentation must be uploaded to the client file to document how the labor costs for each measure charged to the home were calculated. The worksheet must include:

- all dates that any of the crew worked on the home
- the names of all crew members that worked on the home each day
- the number of hours each crew member worked on the home
- each crew member's hourly wage

Crew members must keep track of the time they spend working on each reported measure. (This does not include drive time, or time spent loading vehicles, cleaning out vehicles, or purchasing materials. Those hours must be charged to the Program Operations Support Costs budget category so they do not affect the S.I.R. of the measure.)

W. Daily CAZ Test Form

This form must be filled out every day that work is completed at every home. However, for all-electric homes and homes with combustion appliances that do not require a CAZ test (e.g., sealed combustion furnaces and power-vented water heaters), the form need only be filled out at the end of the first day, or may be filled out by the auditor prior to work beginning on the home. All copies of the CAZ test must be uploaded to MoWAP, but they may be uploaded together. See attachment 3-7 in this manual for instructions on reporting daily CAZ testing related expenses.

X. Quality Control Inspection Form

This form contains information from the quality control inspection of the completed home. (See LIWAP Technical Manual Attachment 2.1)

Y. Department Approval (if applicable)

Documentation of approval for case-by-case exceptions to policies granted from the department must be uploaded to the client file.

Z. Emergency Services/Health and Safety (if applicable)

For detailed information about what is required to be uploaded, please see Section 2, sub-section III, B.

IV. Required Forms and Documentation for the Physical Client File

All of the forms above, which must be uploaded to the MoWAP client file, must also be kept in the physical client file. In addition, the following forms must be kept in the physical client file:

A. Agency Work Order Form

This form is an agency-developed form identifying the estimated materials and work to be completed, and a list of actual costs for materials and labor for the completed job. The work order form can also be printed from the NEAT and MHEA Audit software. This form should be signed and dated by a weatherization auditor.

B. Clean and Tune Work Order Form (if applicable)

V. Required Forms and Documentation for Contractor Files

A contractor file must be kept for every business or non-employee individual that you send to a client's home to do work, conduct inspections, or collect samples.

A. Completed Contract

A completed contract that has been signed by the contractor and countersigned by the agency.

B. Evidence that the contractor has met one of the three following criteria:

1. The respondent has successfully completed a contract with the agency in the past;
2. The respondent has submitted names of other purchasers with whom they have provided service and performed satisfactorily; **OR**
3. The respondent has posted a performance bond.

C. Proof of Insurance:

1. Comprehensive General Liability Insurance at a minimum of \$300,000 Combined Single Limit for Bodily Injury and Property Damage, per occurrence and aggregate.
2. Vehicle Insurance at a minimum of \$300,000 bodily injury per person / \$500,000 bodily injury per accident / \$300,000 property damage per accident for a Split Liability Limit (SLL) policy or \$800,000 for a Combined Single Limit (CSL) policy.
3. Workers' Compensation Insurance Coverage as required by law.

D. A current business license and/or occupational license(s) as required by local statutes.

E. Verification that the contractor is registered with and maintains good standing with the Missouri Secretary of State's office. See website: <http://s1.sos.mo.gov/>

When looking to see if a company is in "good standing" with the Secretary of State's office, look for the following words/phrases under "status": **Good Standing** or **Active**

Words/phrases under “status” that indicate that a company is NOT in Good Standing are: **Inactive; Canceled; Admin Cancel; Term/Cancel; Dissolved; Expired; or Forfeited**

If you see the word **Fictitious**, it simply means “a name under which any person shall do or transact any business in this state which is other than the true name of such person.” (MO Secretary of State’s website). If a person opens ABC Plumbing under his or her Social Security number, then it would be a “fictitious” business name, because business is transacted under a name other than the true name of the person. Therefore, a business with a status of **Fictitious Active** would be in good standing, while a business with a status of **Fictitious Expired** would NOT be in good standing.

F. Evidence that the contractor is not on the state or federal debarment lists.

See websites: <https://purch.oa.mo.gov/media/pdf/suspendeddebarred-vendors>
<https://www.sam.gov/portal/SAM/>

G. Evidence of OSHA-10 Certification for all of the contractor’s employees.

H. Proof of EPA Certified Firm Certification and Certified Renovator and Lead Safe Work (LSW) training documentation, if any LSW is to be performed (Wx contractors only; not HVAC or electrical contractors).

The contractor’s file should be reviewed annually to update insurance information, re-check the debarment and Secretary of State’s registration lists, and verify that all other information is up-to-date.

See **Attachment 3-6** for a checklist with these requirements.

VI. Definition of a Home in Progress, a Completed Home, and an Amended Home

A. Home in Progress

A home in progress is a home for which weatherization measures have actually commenced. The commencement of work does not include the hanging of smoke or carbon monoxide detectors. **Completion of an energy audit does not constitute commencement of work.**

B. Completed Home

A completed home, or unit, is a home which complies with all aspects of 10 CFR 440.16(g), which states, “No dwelling unit may be reported to DOE as completed until all weatherization materials have been installed, and the subgrantee, or its representative, has performed a quality control inspection(s) including any mechanical work performed, and

certified that the work has been completed in a workmanlike manner and in accordance with the priority determined by the audit procedures.”

In addition, before a home is considered complete, that home must be attached to a reimbursement submitted through MoWAP and approved for payment by department staff through the MoWAP system.

No dwelling unit may be reported as a completed home until it meets the above criteria. Before reporting a completed home, the department requires all homes pass a quality control inspection by subgrantees and that all invoices associated with the home have been received. Units with estimated expenses will not be reimbursed. Expenses associated with a home that fails a department inspection may be withheld from the Subgrantee's subsequent reimbursement until the home passes a subsequent inspection.

C. Amended Home

Generally, there should be no amendments made to a home after 12 months from the time the job has been reported to the department. Due to WPN 11-03 (see Attachment 3-3), subgrantees may not charge the WAP for additional work on homes weatherized after January 10, 2011.

Correction amendments for financial revisions to client files are still allowed.

VII. Reporting Homes

A. Quality Control Inspected Homes

Homes may only be reported as complete if they have passed a Quality Control Inspection (QCI) per 10 CFR 440.16(g), and WPN 15-4.

B. Non-Quality Control Inspected Homes

Homes that cannot pass a QCI must be completely rejected in MoWAP. Any expenses associated with the home can be reported under the Program Operations Support Costs budget category. Completely rejected client files associated with expenses that are reported on a reimbursement request must have all applicable required documents uploaded. If a reimbursement request contains expenses related to a rejected client file, the name and job number must be entered by the agency in the reimbursement request comment box prior to submitting.

Homes may be unable to have a final QCI inspection due to reasons such as:

- The client dies after work has been started, or special order items have been ordered, but before the final inspection has been completed, and the agency cannot gain access to the home to final inspect any completed work.

- The client moves after work has been started, or special order items have been ordered, but before the final inspection has been completed, and the agency cannot gain access to the home to final inspect any completed work.
- The client fails to show up multiple times for the final inspection, or refuses to schedule the final inspection.
- The client becomes uncooperative/abusive.

There may be reasons other than those listed above that keep a final inspection from being performed. If you have a reason other than these, email the State Weatherization Office with the details, and our staff will give you written guidance on how to proceed.

C. Procedures for Reporting Non-Quality Control Inspected Homes

Homes that do not receive a Quality Control Inspection due to extenuating circumstances may not be reported as a completed home. Expenses may be reimbursed as Program Operations Support Costs, but the home may not be reported as a completed home.

- Contact requirements remain the same. An agency must document that they attempted to contact a client three times within a 14-day period, with two of the attempts being a minimum of 7 days apart, with no success.
- After three contact attempts with no success, the QCI inspector will note on the Quality Control Inspection Form that they could not complete the final inspection, and include the same note in the MoWAP client file comment section. The QCI inspector will not sign or date the Quality Control Inspection Form. In the MoWAP client file, the actual costs from the invoices should be entered on the client file work orders, and nothing should be entered in the final inspection section.
- After it has been determined that the agency's Quality Control Inspector will not be able to complete a final inspection, the client file must be deferred in MoWAP, and then the deferral must be completed.
- Although the home will not be reported as a completed home on a MoWAP reimbursement, the physical client file must be retained, and must contain all the required documents that were completed at the time of deferral (application, income, home ownership, utility bills, NEAT/MHEA recommended measures, invoices, etc.).
- The labor and material costs for the non-Quality Control Inspected home will be reported under the Program Operations Support Costs "Other" budget category. Indicate in the comments box of the MoWAP reimbursement request how much labor and material costs are being charged to the grant (or grants, if split funding the expenses for the home).
- The uploaded general ledger must clearly identify the labor and material expenses being reported for the non-QCI inspected home.
- A home may be considered weatherized, and ineligible for future weatherization services, if 60% of estimated costs (based on the NEAT/MHEA) have been expended on the home but a Quality Control Inspection cannot be completed. However, the home may not be submitted as a completed home.

VIII. Leveraging Activities

Federal regulations allow weatherization funds to be used for leveraging activities. Under leveraging, subgrantees work at developing relationships with property owners, utility companies and other entities that generate non-federal resources for the program. Non-federal resources are used to supplement the program and expand energy efficiency services and/or increase the number of dwelling units completed for weatherization eligible clients.

NOTE: Leveraged funds may not be used to buy-down non-cost effective measures.

Subgrantee agencies may request up to, but no more than, five percent (5%) of their DOE grant allocation for leveraging purposes. Subgrantee requests for leveraging must include specific planned leveraging activities, targeted partners (e.g. landlords, utilities or other agencies), and estimated outcomes including dollar amounts. If agencies do not initiate meaningful leveraging activities, the funds may be considered as state carryover and may be redirected to other agencies.

Utility funds for weatherization obtained by the department through utility regulatory cases or other actions may not be reported by subgrantees as leveraged funds.

Landlord contributions are technically a form of leveraged funds but they are not a part of the grant and are not reported under leveraging activities.

Contributions received from the owner/landlord are not to be reported as Program Income and should be applied to the cost of the home being weatherized in order to reduce that home's weatherization expenditures. Landlord contributions must be used to reduce the cost of the home in which the contribution was made.

The department and DOE encourage subgrantees to form partnerships with other federal programs, as defined in 10 CFR 440.16(e). These funds, when paired with Weatherization funding, will supplement the Weatherization program and are not considered leveraged funds.

IX. Monthly Reporting

10 CFR 440 authorizes DOE to collect such reports as it deems necessary to carry out its responsibilities.

All agencies are required to submit a monthly reimbursement request through MoWAP to the department by the 10th day of each month. **All homes to be reported for that month must be on a reimbursement that is submitted by the 10th.** An agency may choose to submit an additional reimbursement later in the month for administration or support costs, but no homes may be submitted after the 10th without prior authorization from the department. If an agency has no homes to report, and is requesting no financial reimbursement, email notification must be sent to the department.

The final reimbursement request must contain any receipts from the sale of equipment and/or vehicles that have not been used to offset program operation costs or equipment purchases. These documents must be uploaded to the reimbursement.

X. Quarterly Reporting

Failure to submit progress and financial reports on time may result in cancellation of the subgrant agreement or other penalties as determined by the department.

All agencies are required to submit all quarterly reports for federal subgrants to the department by the **15th** day of the month following the quarterly reporting period. Agencies are required to submit the following quarterly reports:

- Other Fund Sources Report (Attachment 3-1) (must match reimbursements submitted in MoWAP for department-managed fund sources)
- Woman-Owned Business Enterprise/Minority-Owned Business Enterprise/Veteran-Owned Business Enterprise (WBE/MBE/VBE) Report and Instructions (Attachment 3-2)

The quarterly reporting periods are as follows:

- 1st Quarter July 1 – September 30, DUE October 15th
- 2nd Quarter October 1 – December 31. DUE January 15th
- 3rd Quarter January 1 – March 31 DUE April 15th
- 4th Quarter April 1 – June 30 DUE July 15th

If the 15th of the month falls on a weekend or state holiday, the due date will be the subsequent business day.

XI. Annual Single Audit Report

A complete Single Audit Report is due annually to the department within nine months from the end of the agency's fiscal year, or thirty days from the date the final report is received by the agency from the audit firm, whichever is earlier. (See Section 4 and Attachment 4-2 for specific instructions.)

XII. Annual Vehicle and Equipment Inventory Report

All agencies are required to submit an annual Vehicle and Equipment Inventory Report by December 1 of each year. (See Attachment 3-4 for specific instructions.) Any vehicle or equipment that is stolen or damaged must be reported to the Department immediately.

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Section 4 – Financial Management

The objective of the Financial Management Section of the Weatherization Operations Manual is to outline the fiscal policy used by the department in the management of the Low Income Weatherization Assistance Program formula grant. The requirements are as follows:

I. Budget Submission and Revision

A. Submission

1. Budgets (See attachment 4-1 for budgeting instructions.)

Prior to awarding a subgrant, the following documentation must be submitted to the department through MoWAP:

- a. Detailed budget.
- b. Production services goals.
- c. Personnel descriptions, including the percentage of each position that is being funded through that grant.
- d. Cost Allocation Plan
- e. Indirect rate negotiation information (if applicable).
- f. Proof of commercial liability insurance, real and personal property insurance, automobile insurance, workers' compensation insurance and environmental/pollution occurrence insurance.

2. DOE subgrants require the following additional documentation:

- a. Leveraging Plan - The subgrantee is required to submit a plan documenting how leveraging funds will be managed. Approval of the leveraging plan is required prior to incurring costs in this budget category. The leveraging plan will include, but is not limited to specific planned activities, meetings with targeted partners (e.g. landlords, utility, other agencies, etc.) and estimated outcomes, including dollar amounts.
- b. Training and Technical Assistance (T&TA) Plan - The subgrantee is required to submit a plan documenting how T&TA funds will be managed. Dollar amounts must be associated to each training activity outlined in the plan. Approval of the T&TA Plan is required prior to incurring costs in this budget category. The T&TA Plan will include, but is not limited to, agency-specific priorities for training and technical assistance (e.g. major turnover of energy auditors will require investment in basic weatherization training, blower doors, heating systems, the NEAT/MHEA).

3. Revisions

Budget revisions, as explained in 2 CFR 200.308, must be submitted to the department through MoWAP. 2 CFR 200.308 details the circumstances that require budget revisions and when prior approval is required. Changes in the production schedule are considered changes to the scope of work, and therefore require approval by the department.

B. Budget Categories

1. Administrative Funds

- a. Allocation: Each program year, the department allocates seven and one-half percent (7.5%) of new funding to be allocated as administrative funds to the WAP agencies, using the funding formula. A subgrantee allocated less than \$350,000 in total WAP funds for a specific grant may request up to an additional 5% in administrative funds for that grant. However, the additional funds are not in addition to the base grant, but will be taken from the program operations category. To qualify for increasing the administrative funds, the subgrantee must justify its need. The following items will be considered: (1) an approved indirect rate, (2) previous year expenditure for the WAP and (3) the planned purchase of equipment to manage the WAP.

In the event that a subgrantee has an approved indirect rate exceeding 7.5%, and is limited to 7.5% in administrative funds because their subgrant amount is \$350,000 or greater, DOE has authorized the department to allow such subgrantees to recover earned indirect dollars that cannot be charged to the grant (because of the 7.5% cap) by charging those expenses to the Program Operations category. The following conditions must be met in order to utilize this exception:

- 1) The subgrantee must:
 - a) have an indirect rate which has been calculated and approved by the subgrantee's federal cognitive agency; or
 - b) Be using the *de minimis* rate.
- 2) The subgrantee must submit a request for this assistance to the department, and receive written authorization prior to charging indirect expenses to Program Operations.
- 3) All prior charges to the Administrative budget category must have come from the subgrantee's indirect expenses.
- 4) All funds in the Administrative budget category must have been fully expended.
- 5) Only the additional earned indirect dollars can be charged to Program Operations.

The subgrantee must create a line item in the Program Operations budget for additional indirect expenses. (This may be done through a budget revision if it was not included in the original budget.) The subgrantee must upload a general ledger report (to each reimbursement in which indirect expenses are charged to Program Operations) showing the indirect expense base amount, the earned indirect dollars, the amount of indirect expenses paid to date, and the amount of unpaid, earned indirect dollars due to the subgrantee. The amount of indirect expenses charged to Program Operations must be equal to or less than the amount of unpaid, earned indirect dollars due to the subgrantee.

- b. Carryover: the department will authorize WAP agencies to carry over administrative funds in an amount equal to a subgrantee's unspent administrative funds from the previous program year, providing the rate of administrative expenditures to total expenditures is not greater than the amount allowed in the budget section of the grant award. Discrepancies between the financial audit and reported expenditures will be adjusted in the next supplemental or regular budget period.
- c. Total Administrative Budget: The total administrative budget is the sum of the new administrative funding allocated under the base grant, the amount of administrative funds carried over from the previous year and any increase approved as outlined above.
- d. Administrative Restrictions:
 - 1) The WAP portion of the agency's single audit costs are not to be included as an administrative expense unless financial audit costs are included in the indirect cost pool of a negotiated approved, indirect cost rate. This expense is to be budgeted in the "Financial Audit" budget category
 - 2) Non-administrative carryover funds may not be converted to the administration funds category.
 - 3) If a subgrantee's expended administration funds exceed twenty percent (20%) of total WAP expenses at the end of any reporting period, the department may require written justification from the subgrantee.

2. Insurance

All subgrantees must secure appropriate insurance coverage for their agency and their weatherization personnel. All insurance must be procured by the competitive bid process and must include these types:

- **Vehicle/Equipment Insurance** to protect program property from damage and loss. All vehicles (and equipment where appropriate) must have personal and property liability insurance. Should the cost of the insurance exceed the value of the vehicle or equipment, replacement coverage need not be carried. Vehicle/equipment insurance is to be recorded in the Program Operations budget category.
- **Commercial Liability Insurance** for agency coverage, and for personnel who perform on-site work and pre- and post-inspections. Both personal injury and property damage and completed product liability insurance must be included in this policy. Liability insurance is to be recorded in the Insurance budget category.
- **Pollution Occurrence Insurance (POI)** must be carried by each subgrantee. POI insurance is to be recorded in the Insurance budget category.
- **Real and Personal Property Insurance** to cover all weatherization assets owned by the program from damage and loss. Property insurance is to be recorded in the Program Operations budget category.
- **Workers' Compensation Insurance** must be carried by each subgrantee. Workers' compensation insurance is to be recorded in the Program Operations budget category.

3. Financial Audit

10 CFR 440.23 permits a separate budget category for financial audits. Unless financial audit costs are included in the indirect cost pool of a negotiated, approved, indirect cost rate, it is recommended to budget that expense in the "Financial Audit" budget category. This will reduce an over-burden of the limited administrative cost category.

4. Leveraging

Subgrantees may budget up to, but no more than, five percent (5%) of their grant allocation for leveraging activities. A leveraging plan must be submitted with each budget. Leveraging activities include paying for agency staff or hiring consultant staff to explore and develop partnerships with property owners, utility companies and other entities that generate non-federal resources for the program. Other allowable activities include holding leveraging meetings; preparing technical materials/briefs or facilitating voluntary match funds from a non-federal source. The leveraged resources should expand energy efficiency services and/or increase the number of DOE-eligible dwelling units weatherized. The work done with leveraged resources must be consistent with an approved energy audit and utilize cost-effective measures. Leveraging efforts will not always be successful, but subgrantees should aim to produce more than one dollar leveraged for each DOE dollar expended.

Utility funds that are administered by the department through utility regulatory cases or other actions may not be reported by subgrantees as leveraged funds.

NOTE: Leveraged funds may not be used to buy down non-cost effective measures.

5. Training and Technical Assistance (T&TA)

Expenses charged to this category are used to fund training to support weatherization, subject to restrictions found in 2 CFR 200 and DOE program guidance. A T&TA plan must be submitted with each annual budget. T&TA activities are intended to maintain or increase the efficiency, quality and effectiveness of the Weatherization Assistance Program at all levels. Such activities should be designed to maximize energy savings, minimize production costs, improve program management and crew/contractor quality of work, and reduce the potential for waste, fraud and mismanagement.

Any food/refreshments purchased with Weatherization funds for meetings or trainings (or any other event/reason) must be accompanied by a written justification explaining why it was necessary to provide food, a copy of the agenda for the meeting/training, and a sign-in sheet showing all who attended. Food will only be reimbursed for those on the sign-in sheet who are directly paid by weatherization.

Any expenditures for membership in professional organizations must be approved by the department in advance, and be included in the T&TA plan that is submitted with the subgrantee's budgets.

6. Program Operations

Program operations is defined as all expenses that directly support low-income weatherization operations. These include, but are not limited to, support (personnel and other expenses), labor and materials directly related to weatherizing homes, vehicle and property insurance, telephone and office supply expenses not allocated as administrative expenses under the agency cost-allocation plan and rental of office space.

C. Carryover Restrictions

Administrative, Leveraging and T&TA funds may be carried over in their respective categories or converted into Program Operations.

Program operations funds may be carried over, but shall not be converted to Administrative, Leveraging or T&TA funds.

Federal WAP funds not spent by the end of a program year may be recaptured. However, fifteen percent of total WAP subgrant funds may be carried forward. If a subgrantee determines the need to carry over monies in excess of fifteen percent of grant funds, approval must be obtained from the department. Before state approval may be granted, a detailed request that explains the necessity of the carry over funds and the circumstances that caused the subgrantee to carry over an amount greater than fifteen percent must be submitted. The request should also describe the corrective measures that will be taken to ensure that carry over funds will not exceed fifteen percent in the following year and have assurances that WAP clients have not or will not be deprived of WAP services. Funds in excess of fifteen percent of the base subgrant may be redistributed as determined by the department.

Carryover funding will not be allowed at the end of a federal grant cycle. All unexpended funds will be lapsed.

D. Cost Limits

1. Average Cost per Unit

DOE establishes a national average expenditure limit per housing unit each program year. This average is identified in the state WAP plan and may be found at the Weatherization Assistance Program Technical Assistance Center (WAPTAC) under Program Guidance at <https://nascsp.org/wap/technical-assistance-centerwaptac/>.

The department reserves the right to approve or reject certain costs as allowed expenditures.

Costs for program operations that exceed the established annual average cost per unit, as specified in 10 CFR 440.18(b), may be repaid to the department if the statewide average is more than the amount specified in 10 CFR 440).

At the close of the program year, if the statewide average is less than the maximum allowed by program rule, but a subgrantee's average is above the maximum, the department reserves the right to recapture excess expenditures. Subgrantees may submit a request for waiver to the department, attention: Weatherization Program Director and Administrator.

During the program year, if the department determines that, the average cost per unit will exceed the maximum allowable annual average cost per unit; additional cost restrictions may be imposed. Implementation of these limits will be based on data gathered by the department regarding actual cost averages and may be imposed on one or all subgrantees as needed. The department will notify the subgrantee of the cost restrictions to be implemented and procedures for implementing the restrictions. Upon receipt of such notification, the subgrantee will be required to implement this procedure for all homes for which materials have not been ordered or for which a job order has not been issued to a contractor.

2. Incidental Repair Cost Limits

All incidental repairs must be justified in the client file with the Incidental Repair Justification Form (LIWAP Technical Manual Attachment 2.7) with an explanation for their need and the associated relationship to a specific cost effective weatherization measure or group of measures. Incidental repairs, as defined in 10 CFR 440, means those repairs necessary for the effective performance or preservation of weatherization materials. The Incidental Repair Cost Limit for site-built and mobile homes is \$600 in materials. A subgrantee is required to request prior approval from the department for any incidental repairs requiring more than \$600 in materials before commencing work on the project. The request and approval/disapproval documentation should be uploaded to the MoWAP client file. Refer to LIWAP Technical Manual Section XII, Subsection D: Incidental Repairs for additional information.

3. Health and Safety Cost Limits

A statewide limit for the average cost per unit for Health and Safety abatement costs has been set at twenty percent of program operation expenditures. The department recognizes that some hazards will be beyond the scope of the resources of the program to abate. Dwellings that contain such hazards will be deferred if a serious hazard is likely to be aggravated by the weatherization process or cause harm to the technicians working on the home. If conditions are found that endanger the occupants and are beyond the scope of the WAP, a subgrantee should take whatever actions necessary to inform the occupants and appropriate authorities. Additional health and safety information is available in the Weatherization Master File under Health and Safety Plans (See the link to Appendix A of this manual).

4. Minimum Material and Labor Expenditures per Funding Source

A minimum of **\$100 in labor and/or material expenditures per unit** must be reported on a DOE reimbursement. Exceptions to this policy will be allowed for end-of-grant reimbursements or other special circumstances pre-approved by the department on a case-by-case basis. **Please remember that all units reported to the department for reimbursement must have a minimum of \$100 of the labor and/or materials charged to a DOE grant.** (See Section 3, page 29.)

When split-funding units with two or more funding sources, it is required that a minimum of **\$100 in material and/or labor expenditures per unit** must be charged to each Department administered, non-DOE fund source that the subgrantee chooses to use on that unit. Exceptions to this policy will be allowed for end-of-grant reimbursements or other special circumstances pre-approved by the department on a case-by case basis.

NOTE: In accordance with the Memorandum of Understanding (MOU) between the Department of Natural Resources and the Missouri Department of Social Services regarding the LIHEAP transfer, any LIHEAP funds expended **must** be tied to a client name. Therefore, LIHEAP funds may not be used to pay for any measures on a vacant unit in a multi-family structure.

E. E-Verify

E-Verify is a web-based system that allows enrolled employers to confirm the eligibility of their employees to work in the United States. E-Verify employers verify the identity and employment eligibility of newly hired employees by electronically matching information provided by employees on the Form I-9, Employment Eligibility Verification, against records available to the Social Security Administration (SSA) and the Department of Homeland Security (DHS).

E-Verify is a voluntary program. However, employers with federal contracts or subcontracts that contain the Federal Acquisition Regulation (FAR) E-Verify clause are required to enroll in E-Verify as a condition of federal contracting. Please see <https://www.e-verify.gov/>.

As a requirement of issuing grants to subgrantees, the subgrantees are required to submit documentation affirming their organization's enrollment and participation in the E-Verify federal work authorization program.

1. If the Missouri Office of Administration (OA) has the agency's E-Verify document on file (and it is not expired) then the agency does not have to provide further information. To determine if an agency has their E-Verify documentation on file with OA, click on the "Affidavits for Work Authorization link":
<https://oa.mo.gov/sites/default/files/affidavits.pdf>.
2. If the E-Verify Work Authorization Affidavit is about to expire, an **Affidavit of Work Authorization** must be completed and notarized (see attachment 4-4). This document must be scanned and emailed to the Weatherization Program Office. Staff from DNR will then forward that information to OA.
3. If an agency does not have their E-Verify documentation on file with OA, the agency will be required to submit documentation affirming the organization's enrollment and participation in the E-Verify federal work authorization program (pursuant to Section 285.530, RSMo). Documentation shall include:
 - a) The **E-Verify Employment Eligibility Verification** page listing the entity name and entity ID **OR** a page from the **E-Verify Memorandum of Understanding (MOU)** listing the entity name and the MOU signature page completed and signed, at minimum, by the entity and the Department of Homeland Security – Verification Division. **Sample** documentation can be found at:
<http://oa.mo.gov/purchasing/vendor-information/e-verify-information>.

- b) If the signature page of the MOU lists the entity's name and entity ID, then no additional pages of the MOU are required to be submitted. Should an agency need assistance in obtaining documentation they can contact the E-Verify federal work authorization program.

Website: <https://www.e-verify.gov/> ; Phone: 888-464-4218; Email: e-verify@dhs.gov

- c) The completed, notarized **Affidavit of Work Authorization** (see attachment 4-4).
- d) These documents must be scanned and emailed to the Weatherization Program Office. Staff from DNR will then forward that information to OA.

F. Sales and Use Tax Compliance

As a requirement of issuing grants to subgrantees, the department is required to check the status of the Sales and Use Tax Compliance against the SAM II payment information for each agency. Please see the following link to the Department of Revenue's (DOR) webpage for additional information: <https://dor.mo.gov/business/sales/hb600.php>.

The department is able to check the status of each of the agency's Sales and Use Tax Compliance in SAMII. However, if no information is found in SAM II the agency must request a "Vendor No Tax Due" statement from DOR (see attachment 4-5).

The Missouri Department of Revenue will issue a "Vendor No Tax Due" statement when a business is properly registered and has all of its sales/use tax paid in full. If taxes are due, depending on the payment history of the business, a cashier's check or money order may be required for payment before a certificate of no tax due can be issued.

A Vendor No Tax Due can be obtained by contacting the Missouri Department of Revenue, Taxation Division, P.O. Box 3666, Jefferson City, MO 65105-3666. You may also call (573) 751-9268, fax (573) 522-1160, or email taxclearance@dor.mo.gov

Once the agency has obtained the "Vendor No Tax Due" statement from the DOR, please scan of copy of the document and email it to the Weatherization Program Office so that the agency's records can be updated in the department's accounting system.

II. Funding

A. Subgrant Advance

The purpose of advance funding is to provide funds to cover the lag between the time a subgrantee incurs an expense and the time they are reimbursed by the state. The department may withhold reimbursement requests in order to liquidate the advance. All advances must be fully expended by the end of the grant period in which the advance was requested. Advancements must be requested through MoWAP.

B. Subgrant Advance Policy

The actual amount of advance funding will be based on the amount of expenditures the subgrantee expects to make in the first 60 days of the advance period. The advance will be reconciled with actual expenditures within the first 90 days of the advance. However, this does not preclude the subgrantee from submitting additional advance funding requests after

the initial advance has been at least 66.7% reconciled with actual expenditures. Any subsequent advance funding requests must be in 60-day or less increments, and must be reconciled with actual expenditures on or before the next 90 days of the grant period. No ensuing advance funding requests will be approved until the previous request has been at least 66.7% reconciled with actual expenditures. A less restrictive reconciliation schedule may be considered by the department on a case-by-case basis. There must be a zero agency fund balance (i.e., a full reconciliation of advances to expenditures) at the end of the grant period. Also, please be aware that advance funding is subject to federal cash management rules that can be found in 2 CFR 200.305. Required documentation for upfront funding must be uploaded to the advancement request on MoWAP. The following are the basic requirements that must be followed:

1. If advance funding is authorized, those funds must be deposited into an insured, interest-bearing account.
2. Advance funding requests cannot exceed twenty-five percent of the total grant amount unless the recipient demonstrates good cause.
3. Recipients of advance funding must maintain or demonstrate the willingness to maintain written procedures that minimize the time elapsing between the transfer of funds and disbursement by the subgrantee and that the subgrantee has a financial system that meets standards for fund control and accountability.
4. The timing of cash advances shall be as close as administratively feasible to the actual disbursements by the subgrantee.
5. Interest must be earned from the day the advance is deposited until it is withdrawn to make a payment and, if any advance funding remains after payment (positive cash balance); it will continue to draw interest until it is withdrawn for another payment.
6. If interest earned on the advance exceeds the \$500 threshold established in 2 CFR 200.305, the amount over \$500 must be repaid to the federal Department of the Treasury.
7. The initial advance will be reconciled with actual expenditures within the first 90 days of the advance. Any subsequent advance funding requests must be in 60-day or less increments, and must be reconciled with actual expenditures on or before the next 90 days of the grant period. No advance funding requests will be approved until the previous request has been at least 66.7% reconciled with actual expenditures. There must be a zero agency fund balance (i.e., a full reconciliation of advances to expenditures) at the end of at the end of the grant period.
8. Reconciliation of the advance funding will begin the first month of the 90-day (three months) reconciliation cycle. Payment requests will be reduced by 33.3% of the advanced funding amount in the first month, 33.3% in the second month and the remaining 33.4% in the third month of the 90-day reconciliation cycle. If payment requests do not cover the advanced funding amount, then payment requests will not be paid until the advance can be reconciled with actual expenditures.

To support the amount of requested advance funding, the following documentation must accompany each request:

- Vehicles and Equipment – Submit bid documentation and copies of approval letters from DOE and the department for all vehicle purchases or equipment that costs over \$5,000 per unit, for the expected purchases that will be completed during the period for which advance funding is being requested. In addition, provide information regarding the number of vehicles the agency plans to keep (year and approx. miles), those the agency plans to get rid of (year/miles), number of existing staff and number of new hires to show the need for the additional vehicles.
- Training – Submit type of training, cost, and employee(s) or contractor(s) that will be attending training during the period for which advance funding is requested.
- Names and addresses of the homes that will be weatherized during the period for which advance funding is being requested.
- Dates when weatherization work is scheduled to begin on each of the homes.
- If energy assessments have been performed on the homes, include the projected cost of completing the weatherization work. Costs should include support, materials and labor.
- Additional space costs – Submit copy of lease/rent or space allocation agreement.
- Any additional documentation that the agency considers important to support the request for advance funding.
- Written procedures that outline advance funding requirements in accordance with 2 CFR 200.305.

Advance funding requests are to be completed through the MoWAP system. This is done through the Advancements Screen that can be accessed from the main menu. Supporting documentation for the advancement must be uploaded on the Advancements Screen through MoWAP.

C. Reimbursement

The intent of the department is to process reimbursements in a timely manner if proper documentation is submitted.

Reimbursement requests shall be submitted through MoWAP. (See Section 3 of this manual for reporting requirements) Reimbursement reporting requirements include uploading the general ledger/working papers for support cost documentation. The expenditures on the reimbursement and the general ledger/working papers must be reviewed to ensure that they are allowable per grant guidelines. The expenditures on the reimbursement must be posted to the general ledger/working papers. The total on the general ledger/working papers **must** match the total expenditures on the MoWAP reimbursement. Any reason for variances must be noted on the general ledger/working papers. The general ledger/working papers should include references to the homes attached on the reimbursement, and include contract labor, crew labor, and materials. This **must** match the MoWAP reimbursement.

Upon receipt of the reimbursement request, the department shall perform an analysis of the request and shall initiate reimbursement procedures. The purpose of the analysis is to review revenue, expense categories, and identify significant variances from the subgrant budget as

well as non-compliance with expense and revenue limits. Client files reported on reimbursement requests are reviewed to ensure compliance with WAP program rules and technical standards. (See Attachment 1-4: MoWAP Client File Review and Reimbursement Checklist.)

Any corrections or revisions noted by department staff that need to be completed by the weatherization agency before reimbursement can be authorized will be relayed to the agency through MoWAP and email, and documented in the agency monthly report files.

Once the department's review is complete and reimbursement approved, the department staff will enter and approve reimbursement requests in the SAM II state accounting system for payment.

Agencies must ensure a zero agency fund balance at the end of the grant period, meaning advances must be reconciled to zero. The department will withhold approving reimbursements during the fourth quarter until the agency reconciles their advance fund balance to zero.

III. Weatherization Funded Asset Management

A. Inventory

Materials inventory shall be valued on the agency's balance sheet using the first in/first out (FIFO) inventory valuation method.

Agencies may choose either the perpetual or periodic inventory system. If the perpetual system is chosen, the agency must record the results of a reconciliation between a physical inventory and the general ledger carrying value of the inventory at the end of the program year. This documentation should be kept in agency weatherization files in the event monitors/auditors want to review that information.

B. Equipment

Reportable equipment and vehicles are defined as equipment with a cost equal to or greater than \$5,000.

The agency must insure its equipment in accordance with the provisions of 2 CFR 200.

The department requires an annual equipment inventory. The results of the annual inventory are due to the department no later than December 1 of the current Program Year. (See Attachment 3-4 for the Vehicle and Equipment Inventory Form.)

For guidance on the disposition of vehicles, equipment, and/or property, see Section 5, subsection III, Part D in this manual.

IV. Closeout of Weatherization Program Years

Subgrantees may only report homes as completed that have all work and a fully passed quality control inspection completed by the end date of the grant period specified in the Terms of Grant Agreement. Only services or supplies received prior to the end of the program year will be reimbursed by the department (i.e., services, office supplies). The department will not reimburse the cost of any material inventory or for homes in progress.

V. Final Reimbursements and Audits

A. Final Reimbursements

Authority to spend subgrant funds is for a specific time. The final reimbursement must document expenditures as of the last day of the month at the end of the grant period. Each subgrantee must submit an accurate final reimbursement within 30 days following the end of the grant period.

B. Audits (See Attachment 4-2)

A complete audit report is due to the department within nine months from the end of the agency's fiscal year or thirty days from the date the final report is submitted to the recipient by the independent auditor.

VI. Program Income

DOE defines program income as any funds earned by grantees and/or subgrantees from non-federal sources during the course of performing DOE Weatherization work. The income generated must be used to complete additional dwelling units in accordance with DOE rules.

Program income is subject to the specific guidance provided in 2 CFR 200.307, and should be treated as an addition to program funds and are subject to the same rules as appropriated funds. DOE will stipulate, in the grant award, that program income is to be treated as an addition to program funds. Property owner (i.e. landlord) contributions and leveraged resources (i.e. utility or state funds) are NOT considered to be "program income" for the purposes of the Weatherization Assistance Program.

VII. Terminology Definitions

Beginning Fund Balance: Funds that have been advanced but not expensed from the previous grant.

Ending Fund Balance: The sum of the Beginning Fund Balance + Grant Income + Program Income – minus total Expenditures. This is the Total Reimbursed field on the MoWAP Reimbursement/Advancement screen.

Grant Balance: The total agency grant amount, minus reimbursable expenditures. This is the "Available" field on the MoWAP Reimbursement/Advancement screen.

Reimbursable Expenditures: Allowable costs incurred by the agency within the specified program year. This is the "Current Expenditures" field as displayed on the MoWAP Reimbursement screen.

Report Month: The recorded month reported on a reimbursement through MoWAP. Agencies may choose either the current or the immediately previous month when reporting reimbursement information through MoWAP.

(See MoWAP Agency User Manual for additional MoWAP definitions.)

Section 5 – Procurement

I. Small, Minority-Owned, and Women-Owned Business Enterprises

Positive efforts shall be made by each subgrantee to utilize small, minority-and woman-owned-business enterprises as a source for supplies and services. An effort must be made to reach small, minority- (MBE) and women-owned business (WBE) enterprises at the standard bid time through notification of the bid solicitation, as well as by contacting people who can provide information on these business enterprises (see Competitive Procurement Standards, Part V).

Steps the subgrantee must take to solicit small, minority- and woman-owned business enterprises include but are not limited to the following: The subgrantee must (1) make a good-faith effort to solicit bids from all interested and eligible suppliers and (2) shall advertise formal bids in at least two daily newspapers of general circulation in such places as are most likely to reach prospective bidders. The following is the website for MBE/WBE participants:

<https://apps1.mo.gov/mwbcertifiedfirms/>

II. Procurement of Building Insulation Products Containing Recovered Materials

(Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976)

A subgrantee using federal WAP funds must put into effect affirmative procurement programs to procure items made from the highest percentage of recovered materials practicable, considering competition, availability, technical performance and cost, if procurement contracts for such items exceed \$10,000. In addition, EPA guidelines effective February 17, 1990, specify insulation products purchased in bulk lots exceeding \$10,000 must meet the intent of this Act. (See Subsection X, C of this section for more information.)

III. Procurement, Management, Leasing, and Disposal of Non-Expendable Property

Purpose: This section is to inform Missouri Weatherization subgrantees of the procedures that must be followed in the procurement, management and disposal of vehicles and equipment. Specific requirements are described below.

A. Vehicle and Equipment Purchase Guidelines

All agencies seeking to purchase vehicles or weatherization equipment greater than \$5,000 in value must receive prior written approval for the purchase by providing the department with a purchase justification for each request. **NOTE: All vehicle purchases, even if purchase price is below \$5,000, require both DOE and department approval before the vehicle may be purchased.** Once reviewed and approved, the department will forward the purchase request on to DOE for their approval. The purchase justification should be submitted on the, “*Vehicle/Equipment Purchase Lease Request*” form (see Attachment 5-6). All portions of this form are to be completed. Any additional supporting information should also be submitted at the time the request is made. This purchase request form must also be submitted if an agency wishes to purchase a surplus vehicle or equipment from another agency at a cost of \$5,000 or more.

Only under special circumstances, and with the department’s and DOE’s prior approval, shall agencies purchase used vehicles or equipment at a cost of more than \$5,000.

Subgrantees must comply with all requirements specified in 10 CFR 440 and 2 CFR 200, and the requirements specified in the Scope of Services and the Missouri Weatherization Program Competitive Procurement Standards. For further information, see Subsection V, Competitive Procurement Standards, and Subsection VI, Solicitation in this section).

All vehicles/equipment must be purchased no later than 60 days prior to the end date of the grant being used.

DOCUMENTATION TO BE SUBMITTED:

For approval of **all** vehicles and equipment purchases over \$5,000, the minimum information required by DOE and the department includes the following:

(Items 1-6 may be written in the body of an email.)

1. Name of subgrantee
2. Where the vehicle will be used and how it will be used. Specify full- or part-time use in Weatherization Program.
3. A statement of whether this is a replacement or an expansion for ramp-up, number of new employees planned or already hired that will be using the vehicles, and if this is a replacement, how is the trade-in being addressed?
4. Brief description of how the procurement will be done, and the confirmation that agency, state and federal procurement guidelines will be met. (See 2 CFR 200.317-326 – Procurement Standards), or how the procurement was done (if the bid process has already been completed), with confirmation that agency, state and federal procurement guidelines were met.
5. What funding source(s) budget category will be used, (ex. DOE Weatherization Program Operations Funds). **Subgrantee T&TA funds are not an allowable option.**
6. Statement that lowest bid will be selected, or a sufficient justification of the “best value selection” if the lowest bid was not recommended for DOE approval.
7. A completed Vehicle/Equipment Purchase, Lease Request Form (Attachment 5-6)
8. A copy of the bid specifications (vehicle description with options requested) and the RFQ sent to prospective bidders.

If procurement has already been completed:

9. A bid analysis indicating at a minimum, each bidder, the bid price, a determination whether the proposal met the bid specification.
10. Copies, or invoices, of the sealed bid newspaper advertisements (for vehicle or equipment purchases of \$50,000 or greater).

In addition, subgrantees should consider and weigh the options concerning leasing versus purchasing. If a lease-purchase option is proposed, even if the purchase price is as small as one dollar, the department and DOE must approve the transaction in advance.

Subgrantees are eligible to purchase from Missouri's surplus property as well as utilize the State's contracts for vehicle purchases and other equipment such as computers, blower doors, infrared thermal imaging cameras, combustion analyzers, ambient carbon monoxide meters, and gas leak detectors.

B. Equipment Management

Subgrantees must complete and submit the Vehicle and Equipment Inventory Report (Attachment 3-4) to the department each year by December 1.

The subgrantee will comply with all procedures specified in 10 CFR 440 and 2 CFR 200.

Sufficient insurance must be provided for all non-expendable property.

C. Leasing

Agencies that lease equipment, buildings, or vehicles from leasing companies; or agencies that lease equipment, buildings, or vehicles to their Weatherization Assistance Program, must comply with the following:

The subgrantee must itemize the cost of leasing in the subgrant application and submit justification for the lease of equipment, buildings, or vehicles. The method of lease should be outlined in the justification and on the Vehicle/Equipment/Building Purchase/Lease Request (i.e., whether the agency plans to use a leasing company/dealership or the agency is leasing to the Weatherization Program). The form should be submitted to the department when requesting approval.

The subgrantee must choose the method with the lowest cost to the program (i.e., leasing company/dealership or agency lease to program).

Justification for the lease should contain at least three telephone or informal bids from leasing companies/dealerships (the informal bid process may be used if the lease is between \$10,000 and \$49,999; if it is \$50,000 or more, then a formal bid process must be used). A written comparison justifying the cost-effectiveness of lease vs. purchase must be submitted to the department. When leasing/renting properties, bids should be of comparable square footage. The vehicle/equipment to be leased must be of the same quality as the vehicle/equipment purchase specification. The leasing of equipment must be as an alternative to reduction of support costs. The Vehicle/Equipment/Building Purchase, Lease Request form must be filled out completely. All documentation must be submitted to the department for prior approval.

D. Property Disposition

For purposes of this section, property is defined to mean equipment and vehicles purchased with federal grant funds administered in accordance with DOE weatherization rules.

Per DOE, current fair-market value refers to whatever the subgrantee can sell the property for or what a buyer is willing to pay. The sale of property and any proceeds received is subject to monitoring by both the department and DOE. Thus, it is the responsibility of the subgrantee to maintain very detailed and clear records for documentation.

Subgrantees will have 90 days from the date of the approval letter from the department and/or DOE to dispose of the property. The subgrantee will notify the department after the sale by submitting an Equipment/Vehicle Disposal Report.

For additional reference, see 2 CFR 200.313(e)(2), Department of Energy Financial Assistance Rules, as amended, the requirements specified in the department's Terms and Conditions; and the Missouri Weatherization Program's Competitive Procurement Standards.

1. Process Steps (Sale of Equipment):

- a. Determine if property is to be disposed of through sale or transfer
- b. Determine price of property when purchased
- c. Determine current fair-market value of property
- d. Contact the department
- e. Complete and electronically submit required forms and documentation to the department and receive prior approval, if required, before proceeding with disposal.

For property requiring DOE approval, the subgrantee must wait for written notification from the department in order to proceed with disposal.

- f. Subgrantee must announce surplus property as available to the weatherization network first, with a deadline given to respond if interested, before selling on the open market.

If no subgrantee in the weatherization network expresses interest in the property, the subgrantee may dispose of the property through open sale.

- g. Subgrantees must make a good-faith effort to sell a vehicle at current fair-market value (advertised auction, sealed bid, etc.) and ensure the sale price is reasonable (subgrantees have the ability to set a minimum bid price).
 - i. The subgrantee should follow their agency's internal policy of disposing of excess property concerning how the items should be sold, such as sealed bid, advertised auction, etc.
 - ii. Subgrantees should document what offers they received, and assign a value based on those offers.
 - iii. Subgrantees may set a minimum bid price.
- h. The subgrantee will notify the department after the sale of the property by submitting an Equipment/Vehicle Disposal Report (Attachment 5-5) which allows the department to update inventory records.

2. Process Steps (Sale of Vehicles):

- a. This process follows the exact steps as disposition of equipment with one exception: **All vehicles, no matter the original cost, must receive the department's approval before being disposed of.**
- b. Subgrantees must make a good-faith effort to sell a vehicle at current fair-market value (advertised auction, sealed bid, etc.) and ensure the sale price is reasonable (subgrantees have the ability to set a minimum bid price).

3. Proceeds from Property Sale

a. Proceeds of \$5,000 or more from sale:

This policy applies to all sales regardless of the original purchase price or current fair-market value.

- Proceeds from the sale **must** be returned to the U.S. Treasury (See Returning funds to the U.S. Treasury for specific details).
- The agency is permitted to deduct and retain \$500 for selling and handling expenses.
- The retained selling and handling proceeds must be placed in the grant source from which the property was purchased.

b. Proceeds of less than \$5,000 from sale:

- All proceeds from the sale must be returned to the funding source under which the property was purchased. The funds returned will be used to reduce net program support expenditures in the current program year and will be documented as such in the agency audit.

4. Returning Funds to the U.S. Treasury

- a. The department will provide the subgrantee with technical assistance in the completion of this process.
- b. The check should be made out to the U.S. Department of Energy and sent to the U.S. Department of Energy, Finance Division, 15013 Denver West Pkwy, RSF-DOE, Golden, CO 80401. The department will work with the subgrantee to identify the person(s) at DOE whose attention the check and letter should be routed. An electronic copy of the check and letter should be sent to the department and DOE.
- c. The DOE letter should identify the Grantee Name (Missouri Department of Natural Resources' Division of Energy), Award Number (subgrantee will get this from the department), Subgrantee Name, reason for return, and the amount of funds withheld by the subgrantee for selling and handling expenses.

5. Process Steps (Transfer of Equipment To Other Federally Funded Programs):

- a. If the subgrantee no longer needs the property in the project or program for which it was acquired, they shall request approval from the department to transfer the property to another federally funded program.
- b. The property title, if applicable, must be retained by the subgrantee. As long as the property continues to have a fair-market value of \$5,000 or more, the use management and disposition requirements will apply to the property.
- c. The subgrantee must continue to account for the property in their inventory as long as the property continues to have a fair-market value of \$5,000 or more, in accordance with DOE's financial assistance regulations.
 - i. Property records must be maintained to include a description of the property, a serial number or other identification number, the source of property, who

holds title, the acquisition date, the cost of the property, percentage of federal participation in the cost of the property, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property.

ii. At least annually, the subgrantee must take a physical inventory and reconcile the results with the property records.

- Any differences between quantities determined by the physical inspection and those shown in the accounting records must be investigated by the subgrantee to determine the causes of the difference.
- The subgrantee must, in connection with the inventory, verify the existence, current utilization, and continued need for the property.

d. If the subgrantee no longer needs the property in the project or program for which it was acquired or on other federally sponsored activities, the subgrantee may transfer the property to another subgrantee upon receipt of approval from the department.

e. Once the current fair-market value is less than \$5,000, the property may be retained, sold, or otherwise disposed of with no further obligation to DOE.

- i. For equipment, see Process Steps (Sale of Equipment).
- ii. For property, see Process Steps (Sale of Vehicles).

6. Process Steps (Transfer of Equipment To Other Weatherization Subgrantees):
DOE has stated that they do not insert themselves in the relationship between a grantee and subgrantee; so as long as the vehicles/equipment stay within the general program that it was purchased under (LIWAP), the grantee may allow transfer between subgrantees.

a. A written request must be submitted to the department for approval when a subgrantee wishes to transfer property that, when originally purchased cost \$5,000 or more (per unit item), to another subgrantee in the Missouri LIWAP network.

All vehicles, no matter the original cost must receive department approval before they can be transferred to another subgrantee.

b. It will be the subgrantees' choice of whether or not title of the property is to remain with the original subgrantee or if it will be transferred to the receiving subgrantee of the property.

c. A very detailed, signed, and dated agreement between the two subgrantees must accompany the request to the department.

IV. Management of Weatherization Materials and Contracted Service

Purpose: The purpose of this section is to inform Missouri Weatherization subgrantees of procedures that must be followed in the management of weatherization materials. Specific requirements are described below.

A. Procurement

Subgrantees must comply with all requirements specified in 10 CFR 440 and 2 CFR 200, and the requirements specified in the DNR Terms and Conditions, Missouri Weatherization Program Competitive Procurement Standards.

B. Selection

For materials and contracted service, only the lowest and best bid may be accepted, unless approved by the department in writing. (See Subsection V, Competitive Procurement Standards.)

For material items, if the lowest and best bid is not accepted, and the total cost of like-kind items is less than \$50,000, then documentation must be maintained in the files to explain the reason the lowest and best bid was not accepted. For material items where the total cost of like-kind items is \$50,000 or greater, the lowest and best bid must be accepted unless approved by the department in writing.

For contracted service, the lowest and best bid must be accepted unless approved by the department in writing.

C. Management

Full accountability for all materials purchased is required.

Inventory is an asset, not an expenditure.

All materials not on a completed home are a part of inventory. This includes materials: 1) in the warehouse(s); 2) on vehicles; 3) on or at partially completed homes; or 4) on homes not reported in current or past months.

The inventory system must have a record that details the movement of material through the various stages of its handling. The record system shall be considered a part of the books of record for accounting and audit purposes.

The chart of accounts in the books of record must contain provision for 1) the total materials available during the year (i.e. carry-over inventory plus new purchases); 2) current inventory (monthly); 3) loss/gain (adjusted monthly); and 4) the materials on homes completed and reported.

The record system must also track the materials from purchase through installation on a completed home. Each step shall be documented, and signatures will be obtained to verify transmittal of material. The following steps are critical control points: 1) receipt of material (bulk or field purchase); 2) entry of material into the warehouse records; 3) movement of material to rolling or other subsidiary-type warehouses; 4) movement from warehouse (any type) to a specific job; and 5) installation on a job or return to a warehouse.

Bulk purchased materials must be recorded in a perpetual inventory system. Agencies must use the First In/First Out method for valuation purposes unless an agency is granted specific and written permission to utilize a different system.

Specific job purchases (windows, contract installation or small field purchase) must be valued at actual cost.

At a minimum, inventory must be reconciled annually, but semi-annually is recommended.

1. Determining loss/gain is a systems check as well as a physical count. Complete an accounting/inventory review to determine if losses are occurring at a stage other than physical loss.
2. Loss is charged to the program and not to an individual job. All losses a department monitor determines has been improperly charged to a job will be disallowed. The cost will be backed out of charges assessed to the job, and the agency will be responsible for bearing the cost with corporate funds. Continual violation will lead to more severe penalties.

Agencies that contract for services may charge loss to the program only under special circumstances.

1. Agencies that contract for a specific type of service (i.e. insulation) but install some materials can charge loss for materials that were directly under the control of agency staff.
2. Loss may be charged for items ordered, which cannot be installed due to an act of God, for a specific house. As an example, if storm windows are ordered for a home that burns down prior to installation, the cost of the windows may be assessed to the program.

D. Disposal of Surplus/Salvage Weatherization Materials

Subgrantees must announce surplus/salvage weatherization materials as available to the weatherization network first, before selling on the open market, with a deadline given to respond if interested. If no subgrantee expresses interest in the property, the subgrantee may dispose of the property through open sale. The subgrantee should follow their agency's internal policy of disposing of excess vehicles/equipment concerning how the items should be sold, such as sealed bid, auction, scrap, etc.

Cash receipts from the sale of surplus or salvage materials should then be added to the subgrantee's cash assets and shall be used to reduce material expenditures. These funds should be used during the current program year to reduce material expense and should be documented as such in the agency audit. Please see Subsection III, D, Property Disposition, in this section for specific disposition instructions.

V. Competitive Procurement Standards

The intent of these procurement standards is to provide general procurement guidance to the Missouri Weatherization Program subgrantees. The standards include Request for Quotation (RFQ) procurement documents. These competitive procurement standards are in accordance with state or federal guidelines.

A. General Conditions

All purchases shall be made by competitive procurement except the purchase of like items within a 12-month period with a total value of less than \$10,000.

The Invitation for Bid (IFB) competitive procurement instrument (or a similar representation) must be used for all purchases of \$50,000 or greater. The only exception is procurement of HVAC contractors on a home-by-home basis as detailed in part C of this sub-section.

Agencies are encouraged to solicit competitive bids from small, minority- and woman-owned business enterprises.

Agencies are encouraged to purchase products manufactured in the United States when possible.

When purchasing materials or equipment from a vendor that has a physical business location and address in Missouri, then that vendor must be registered and maintain good standing with the Missouri Secretary of State Office and other regulatory agencies, as may be required by law. However, if an agency is purchasing materials or equipment from a vendor outside of Missouri and that vendor does not have a physical business or address located in Missouri, then that is considered interstate commerce and that vendor is not required to be registered with the Missouri Secretary of State Office. All contractors providing labor on homes, even if their physical offices are located outside of Missouri, must be registered and maintain good standing with the Missouri Secretary of State's Office.

NOTE: If a sole proprietor is doing business under a name other than the owner's true name, a "Fictitious Name" filing must be made with the Secretary of State's Office and renewed every five years. If the sole proprietor is operating under his or her own true name, then registration with the Secretary of State's Office is not required.

Agencies are urged to seek legal guidance on IFB and contract creation, and on bid interpretation.

Agencies must utilize written, internal procedures for weatherization service and material procurement. These written procedures must be updated as needed and include the following:

1. agency personnel in charge of the procurement process
2. development of the procurement document
3. pre-bid conference
4. bid announcement/publicity
5. handling of bidder questions prior to bid opening
6. detailed bid opening procedures
7. handling of bidder questions following bid opening
8. documentation of bid opening procedures
9. bid corrections
10. bid withdrawals
11. bid protests
12. bid qualification process
13. bid evaluation process
14. bid tabulation process
15. sole-source procedures
16. sole-response procedures
17. preliminary award announcement
18. final award and announcement
19. review for contract compliance
20. notification and documentation of contractor problems
21. contract cancellation/termination
22. breach of contract notification and response procedures

23. re-award or rebid following contract cancellation/termination
24. contract fulfillment and normal closure
25. contract extension/negotiation
26. IFB amendment or withdrawal
27. resolving bid ties
28. post award orientation meetings
29. process used for telephone bids
30. procedures for addressing material testing standards or specifications questions
31. bid bonds
32. performance bonds
33. contract performance evaluation
34. bidders lists
35. bids from sole proprietors, partnerships and corporations; and
36. Implementation and review of the agency's affirmative procurement program for building insulation products containing recycled products.

B. Determining the Procurement Method

1. Under \$10,000 – No Bid Required

All purchases shall be made by competitive procurement except those that are a single or repetitive purchase of like items within a 12-month period, with a total value of less than \$10,000. **Note: All vehicle purchases, even if the purchase price is below \$10,000, require both department and DOE approval before the vehicle may be purchased.**

2. \$10,000 – \$49,999.99 Informal/Telephone/Written Bids Required

Single or repetitive purchases of like items or services, within a 12-month period, with the total value of \$10,000 to \$49,999.99 must be procured through the competitive process by informal/telephone/written bids. The agency must obtain a minimum of three competitive bids. (See Sole Source; Sole Response; and “No bid” Response, Subsection VII, B of this section) However, informal/telephone/written bids are to be completed each time the item(s) is (are) needed. Purchases within this dollar-value window may also be procured by sealed, written bids. However, if the cumulative purchases in a 12-month period exceed \$49,999.99, then a formal bid process must be completed.

The agency may wish to use the Bid Tabulation form. (See Attachment 5-12, Form G.)

It is a best practice for the agency to require telephone bidders to submit written bids to the agency before the end of five working days in order to be eligible for a contract award.

Before any work is awarded, a contract between the agency and the contractor must be signed by both parties, which includes all of the clauses and disclaimers required by the Program Operations Manual. (See Subsection V, C, 1, b, (19) in this section.)

All informal bid documentation (not related to a specific home, such as an RFQ for a furnace, because that bid documentation should be included with the specific client file it pertains to) should be maintained in the agency's general/master bid files.

3. \$50,000 or more - Formal, Sealed Bids Required

Purchases of like-kind items or services, within a 12-month period, with a total value of \$50,000 or greater must be procured through the formal competitive bid process. These purchases must be completed by advertised, sealed, written bids. The agency must obtain a minimum of three (3) competitive bids. (See Subsection VI, B, Ensuring Competition and Subsection VII, B, Sole Source, Sole Response and “No Bid” Response in this section.)

C. Procedures for Bidding Contract Work on a Home-by-Home Basis

Agencies that would prefer to bid their HVAC contract work on a home-by-home basis may do so by establishing a pool of contractors from which they solicit bids for each home. If this method is chosen, the following procedures must be strictly followed:

1. Establish a Contractor Pool

a) Determine the Time Period

The pool for HVAC Contractors must be set up for a period of one year or less, preferably coinciding with the DOE program year of July 1 to June 30.

b) Advertise the Creation of the Contractor Pool

The subgrantee must advertise in two daily newspapers of general circulation, in such places as are most likely to reach prospective bidders, that they are seeking contractors to perform weatherization, HVAC, and/or electrical work in the subgrantee's service area. This must be done at least fourteen (14) days prior to the beginning of the selected contract period. The subgrantee may also advertise through other media outlets, such as websites, radio, etc. The advertisement must tell the contractor where to get information on the requirements necessary to be included in the contractor pool.

c) Make the Contractor Requirements Available

Make available to all interested contractors (online, in person, by fax or by mail) a list of requirements, documents, and certifications or licenses that will be required in order for the contractor to be added to the pool. This list must continue to be available at all times to anyone who requests it.

d) Create the Contractor Pool

As the required documents are submitted, prepare a folder for each contractor's documentation. Include the Contractor File Checklist. When a contractor has submitted all of the required documentation, add that name to the contractor pool and file the folder with your other contractor files. If an agency does not receive the required documentation from at least three vendors, approval must be obtained from the department before proceeding.

e) Adding Contractors After the Start of the Selected Time Period

A contractor may be added to the pool, even if the selected time period has already begun, provided the contractor has submitted the required documentation.

2. The Bidding Process

a) Distributing the Work Specifications

When a home (or a group of homes) is ready to be bid, the subgrantee will develop a list of job specifications to be sent as a bid invitation to the contractors in the pool. The list will reflect the measures on the work order. This list should be as detailed as possible so the contractors can provide the most accurate quote possible.

The job specification list must be distributed to every contractor in the pool, in whichever of the following methods that each contractor has requested: by mail, by fax, or by email. The contractor may also request to pick up the list at the agency. Regardless of the method of delivery, the exact same document must be distributed to each contractor.

The job specification list must also include instructions as to how, when, and where the bids are to be submitted to the subgrantee. Contractors must be given a minimum of five (5) business days from the date the list was distributed to submit their bids. The list must be distributed (mailed, faxed, or emailed) to all contractors on the same day. If a contractor prefers to pick up bid documents at the agency's weatherization office, that contractor must be notified by phone on the same day the documents were distributed to the other contractors. That contractor must submit his/her bid by the same due date, regardless of when he/she actually picked up the list.

The subgrantee is responsible for maintaining documentation indicating the date that the job specification list was sent to each contractor.

b) Receiving the Bids

The bids may be mailed, faxed, emailed, or hand delivered to the agency, but must be complete including all signatures. The date and time received should be stamped or written in permanent ink on the outside of the unopened bid package. The subgrantee should also consider adding a disclaimer to the job specification list stating that the subgrantee assumes no liability if the contractor misses the bid deadline because there was no one available at the agency to receive the bid package.

c) Awarding the Contract

Bids may be evaluated and awarded at any time after the bid submission deadline, or sooner if bids have been received from all contractors in the pool. The subgrantee is not obligated to contact non-winning bidders, but all bid documentation should be made available (at the subgrantee's location) for non-winning bidders to review, if so requested.

Before any work is awarded, a contract between the agency and the contractor must be signed by both parties, which includes all of the clauses and disclaimers required by this manual. (See Part V, D, 2, s), (1) through (14) of this section.) This contract will not include any pricing, only the terms in which the individual awards will be executed.

d) Bid Documentation

The following documents must be retained in their respective client file:

- a list of the contractors the bid invitation was sent to
- documentation indicating how and when the bid invitation was distributed to each contractor
- the job specification list that was sent to the bidders
- all bids received from the contractors
- a list of the contractors who did not submit a bid
- a bid evaluation form showing all bid amounts and indicating the winning bidder

D. Procedures for Bidding Contract Work on an Annual Basis

1. Development of the Procurement Document (see Section 5 attachments for Criteria for an IFB-RFQ Checklist)

a. Format

- (1) Purchases of items or services, within a 12-month period, with a total value of \$50,000 or greater **MUST** be procured through the formal competitive bid process (i.e. advertised, sealed, written bids) unless specific authorization stating otherwise has been given by the department.
- (2) For all purchases \$50,000 or greater, subgrantees must utilize the IFB procurement instrument (or a similar electronic reproduction) for formal, sealed bid purchases. (See Attachment 5-7).
- (3) When procuring HVAC contractors for replacement, repairs, and clean and tune work on gas or oil forced-air heating systems, wall units and floor units, agencies may use the appropriate sample RFQ procurement instrument and RFQ form pages provided in the Section 5 attachments.
- (4) The structure of a procurement document should follow this general pattern: 1) the Solicitation/Contract form; 2) general information; 3) bid evaluation criteria; 4) the bid form pages (with instructions to the bidder); 5) technical and/or material specifications; 6) special requirements; 7) contractual clauses; 8) contract administration information; and 9) attachments

b. Content of the IFB

- (1) Firm, Fixed Price: Cost plus percentage of cost purchasing is not allowed. Program expenditures cannot be made on the basis of a seller's cost plus a percentage. All bids and contracts must be based on a firm, fixed price.
- (2) Estimated Quantities: IFBs for weatherization services or materials should include estimates of the total quantity of each item to be purchased or estimates of the amount of services to be needed during the life of the contract for items for which the agency is able to reasonably determine estimated usage. Using a quantity of "1" is inappropriate for items or services for which usage can reasonably be estimated. The one exception is Heating System General Repair items.

The estimated quantities are required to be included in the bid package, although they are not required to be part of the mathematical calculations on the pricing pages. For example, the estimated quantities may be provided to bidders as an attachment to the bid. The estimated size of individual orders, when applicable, may also be included. Bidders must be informed that the quantities are estimates, and the agency is not obligated to purchase the exact amount.

(3) Quality Standards:

- (a) The agency must require vendors and contractors to comply with all material standards and specifications stated in the IFB, whether they are federally mandated standards or established by the agency. The IFB must state that this is a requirement and failure to comply may result in disqualification of the bid or termination of the contract.
- (b) The agency must use the material standards specified in 10 CFR Part 440. The agency must identify the specification numbers for items being bid and include the phrase, “or subsequent ASTM, ANSI or F.S. approved standards which supersede this specification.” (NOTE: This may be included in the IFB as a clause rather than repeated with each specification number.)
- (c) The agency must abide by the list of approved weatherization materials in the Weatherization State Plan.
- (d) The agency should require all bidders to submit material certification documentation. If submission of this data is required, the IFB must inform contractors and vendors that failure to submit material certification documentation when requested can result in disqualification of the bid or termination of the contract.
- (e) Quality standards for material specifications may be set where federal specifications are not set. The specific characteristics of the item must be clearly described.
- (f) Standards and specifications may be set for reasonable programmatic needs. Standards shall not be set that limit competition for non-programmatic reasons.
- (g) Standards and specifications must be clear and accurate. If a brand name is used for descriptive purposes, the purchaser must clearly describe the specific features sought that the specific brand possesses. It is not sufficient to state “Brand-X or equivalent.”
- (h) Substitution is defined as an item that materially conforms to the specifications listed, but is physically or technically different from the item bid. The IFB must state the conditions under which substitutions will be allowed. Substitution shall only be made with the advanced written consent of the agency. Any product provided that does not meet the listed specifications shall be replaced by the contractor at no expense to the agency. If the contractor is unable to make an acceptable adjustment or replacement, the agency shall interpret this as a breach of contract and may seek damages for default.

- (4) Content Standards: Agencies to whom the EPA recycled content regulation applies must include appropriate content standards and other requirements, in accord with Part I.
- (5) Performance Standards: Standards regarding performance by the supplier may be set relative to agency needs. Performance standards must be reasonable and based on program requirements. Examples of such standards are delivery time and place, billing procedures, etc.
- (6) Bid Evaluation Criteria: The IFB must clearly state the criteria the agency will use to evaluate the responsiveness of the bid. These criteria must, at a minimum, cover the following points:
 - (a) All original bids must be typed or handwritten in indelible ink
 - (b) All original bids must be submitted to the agency in a sealed envelope with “Sealed Bid” clearly marked on the outside.
 - (c) The IFB will be awarded to the lowest-priced, responsive and responsible bidder.
 - (d) To be eligible for evaluation, the bid must meet the stated standards for materials and comply with all conditions listed in the bid.
- (7) Bid Closing/Return: All procurement instruments must clearly state the time and date of the bid closing/deadline and the physical location where bids are to be received. (For proper handling of received bids, see subsections VI and VII of this section.)
- (8) Sealed Bid-Photocopy: The purpose of the sealed bid-photocopy is to provide verification of original bid prices in the event of a dispute. If the agency chooses to require all bidders to provide a sealed photocopy of the original bid, this photocopy must be:
 - (a) Provided by all bidders;
 - (b) Provided at the same time as the original bid;
 - (c) Sealed in an envelope with the words “Sealed Bid B Photocopy” clearly marked on the outside of the envelope.
- (9) Bid Opening: All IFBs must clearly state the time, date and location of the bid opening. There must be a public opening of the bids, and public access to the bids must be provided. (Note: procurement documents, such as RFQs, are not opened publicly.)
- (10) Extent of Federal Financial Support: Section 511 of Public Law 101-166, covering the publication of the extent of federal financial support, applies to weatherization procurement-related documents, regardless of the dollar amount of the procurement action, according to the DOE.

Each subgrantee is required to add the following information to weatherization procurement documents (IFBs and RFQs): (1) the total dollar amount of the weatherization program funds granted to the subgrantee during the current year and (2) the federal percentage of participation related to the total subgrant.

(11) Lien Waivers:

- (a) With owner-occupied residential property of four units or less, according to Missouri Statute 429.013, full payment to the contractor for improvement, repair or remodeling of these structures “shall be a complete defense to all liens filed by any person performing work or labor or furnishing material, fixtures, engines, boilers or machinery” unless the owner has signed a “Consent of Owner” form for the contractor. The agency should caution clients not to sign any form or document presented to them by the contractor.
- (b) With other residential property, according to Missouri Statute 429.012, the labor and materials provided by a contractor may be subject to a mechanic’s lien from unpaid suppliers of materials or services to the contractor, but only if the contractor has provided the agency and the property owner with a notice in 10-point bold type stating, in essence, that failure of the contractor to pay those persons supplying him/her with materials or services can result in the filing of a mechanic’s lien. The notice has to be provided either when the contract is signed, when the first materials are delivered, or with the first invoice. Providing this notice “shall be a condition precedent to the creation, existence or validity of any mechanic’s lien in favor of such original contractor.”
- (c) Agencies may wish to require winning contractor(s)/vendor(s) to supply signed lien waivers from their suppliers prior to beginning work under the contract.
- (d) Agencies must include the following language in all bids/contracts: “Under no circumstance will any lien ever be placed on any client home.”

- (12) Organizational Structure: An agency may require each bidder to identify the business he or she represents as a sole proprietorship, partnership or corporation. If required, the owner of the sole proprietorship, all partners of the partnership or the chairperson of the board, chief executive officer, financial director and procurement director of the corporation must be clearly identified in the bid documents. (See Conflict of Interest policy, Section 2 Subsection IV.)

- (13) Bid Bonds: An agency may require bidders to submit bid bonds. The bid bond is a monetary guarantee and assurance that the bidder will not withdraw his bid from consideration prior to contract award.

The agency shall determine an appropriate amount, equally assessed from all bidders, which will achieve this purpose. Bid bonds not forfeited to the agency during the bidding process shall be returned to the appropriate bidder. Agencies may require bid bonds in the form of any type of guaranteed surety such as a bond, cashier’s check or treasurer’s check.

- (14) Performance Bonds: In determining a bidder’s capability to perform, agencies must require the winning bidder(s) to submit a performance bond unless one of the following criteria is met: (See Attachment 5-8 – Bidder Qualification Review.) (1) The bidder has successfully completed a contract in the past with the agency or (2) the bidder has submitted name(s) of other purchasers for whom they have successfully completed a contract.

If the bidder does not meet either of the above criteria, agencies will require the winning bidder(s) to submit a performance bond. The performance bond is a monetary-type surety, held by the agency, which the vendor/contractor forfeits to the agency in the event of breach of contract or contract termination.

Performance bonds may be in the form of any type of guaranteed surety such as a bond, cashier's check or treasurer's check.

It is recommended that the agency base any performance bond amount on the anticipated loss in production and damages that the agency would face should the supplier/contractor default. (Recommended guideline is ten percent of the contract amount).

- (15) Renewal Clause: The agency has the option to include renewal language in a bid/contract. Weatherization supplies/services can be renewed yearly or up to a maximum of three (3) years. **This is the original contract year, plus two additional years.** If the agency chooses to include a renewal in the bid, the agency must select either a price or percentage-type of renewal and provide the appropriate space(s) in the bid document. It is recommend the bid/contract contain language that: (1) any renewal is based on successful completion of previous term of the contract as determined by the agency; (2) renewal is mutually agreeable by both parties; (3) renewal must be in writing, signed and dated by both parties and (4) renewal price/percentage will be included in the bid evaluations when determining the lowest price of the initial bids.
- (16) Breach of Contract/Termination (2 CFR 200 Appendix II, A): All contracts must have provisions that: 1) allow for remedies in case of breach of contract; and 2) allow for termination of contract and detail conditions for the settlement of all claims.
- (17) Equal Employment Opportunity (2 CFR 200 Appendix II, C): In all contracts/subcontracts, contractors must assure compliance with Executive Order 11246, as amended, "Equal Employment Opportunity," as amended by Executive Order 11375 and supplemented by U.S. Department of Labor regulations (41 CFR 60).
- (18) Copeland Anti-Kickback: All contractors must be required to provide assurance of compliance with the Copeland "Anti-Kickback" Act (18USC 874) and (29 CFR 3).
- (19) Required Contract Clauses: **The following language must be included in the IFB:**
 - (a) No interest shall be paid from funds administered by the department for any reason.
 - (b) The activities of the contractor's staff and associates shall be fully coordinated with the activities of the agency. As the work of the contractor's staff and associates progresses, advice on matters of immediate concern to the agency and related to the specific scope of work covered by the contract shall be made available to the agency during the period of the contract.

- (c) The contractor shall not assign any interest in the contract and shall not transfer any interest, whatsoever, in the same (whether by assignment or novation/substitution), without the written consent of the agency.
- (d) The contract shall be construed according to the laws of the State of Missouri.
- (e) No official or employee of the agency, or official or employee of the contractor or its governing body, or any public official of the State of Missouri who exercises any functions or responsibilities in the review or approval of the undertaking or in the fulfillment of the obligations of the terms and conditions of contract shall, prior to the completion of the term of contract, voluntarily acquire any personal interest, direct or indirect, in the contract, proposed contract or contract subject.
- (f) The contractor covenants that he has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of the specified services. The contractor further covenants that in the performance of this contract, no person having any such known interest shall be employed.
- (g) The contractor acknowledges that funds expended for the purposes of the contract are appropriated by state and/or federal sources and, therefore, the contract shall automatically terminate without penalty or termination costs if such funds are not appropriated. In the event that funds are not appropriated for the contract, the contractor shall not prohibit or otherwise limit the agency's right to pursue and contract for alternate solutions and remedies as deemed necessary by the state and/or federal agency for the conduct of its affairs. The requirements stated in this paragraph shall apply to any amendment or the execution of any option to extend the life of the contract.
- (h) The contractor agrees that the agency and/or clients of the agency shall not be liable for the debts of the contractor or any other firm or organization affiliated with the contractor in the fulfillment of the terms of this contract.
- (i) The bid/contract may be invalidated by the agency and/or the department.
- (j) The Department of Natural Resources' Division of Energy's Weatherization Assistance Program is not a party to this RFQ or contract and shall be held harmless in any dispute arising from this RFQ or contract.
- (k) None of the work or services specified in this contract shall be subcontracted by the contractor without the prior written consent of the agency and the department. Approval to subcontract shall in no way release the contractor of his responsibility to fulfill all terms and obligations under this contract.
- (l) The contractor agrees that all work shall be performed in strict compliance with all applicable laws, ordinances, OSHA guidelines; EPA's Lead; Renovation, Repair, and Painting Final Rule (RRP), rules, and regulations, of federal, state, county or municipal governments or agencies, now in force or that may be enacted hereafter. The final inspection report of the agency shall not be deemed a warranty or representation that all such laws, ordinances, rules and regulations have been complied with by the contractor.

- (m) Under no circumstance will any lien ever be placed on any client home.
- (n) The contractor must be registered and maintain good standing with the Missouri Secretary of State's Office and other regulatory agencies, as may be required by law or regulations.
- (o) The contractor agrees to abide by the subgrantee's conflict of interest policy, and will make the agency aware of any relationship, which exists between the contractor and any household member of a home, which has been awarded to that contractor.
- (p) Per DOE guidelines, the following clause must be in all Weatherization and HVAC contractor contracts: "All work performed with funding administered by the Missouri Department of Natural Resources' Low-Income Weatherization Assistance Program must meet the objectives and specifications outlined in the Standard Work Specifications for Home Energy Upgrades, and the Missouri Weatherization Program Technical Manual. These specifications can be found at <https://sws.nrel.gov/> and <https://energy.mo.gov/sites/energy/files/Technical%20Manual%202017%20%28Final%20with%20attachments-A%29.pdf>. All work will be inspected and validated by a certified Quality Control Inspector before being submitted for reimbursement.
- (20) Other Applicable Federal Regulations: In addition to the other items mentioned in this document, agencies are required to follow all other parts of 2 CFR Part 200, which are applicable to nonprofits or local governments. This includes, but is not limited to, access to records, records retention, patents and copyrights.

2. Preparation of the Heating Systems Clean, Tune, and Repairs RFQ for Use

When bidding Heating System services, agencies have the following bidding options (if the expected cost is less than \$50,000 over a 12-month period, for an agency's entire service area):

- a. Informal telephone or written bids for Clean and Tunes and General Repair items as needed. (This method is not recommended for agencies that need a large number of Clean and Tunes and general repairs performed.)
- b. Formal written bid of Clean and Tunes only. (In this case, General Repairs would be telephone bid on an as needed basis.)
- c. Formal written bid of Clean, Tunes, and General Repair items.

If an agency expects to spend more than \$50,000 in Heating System services for its entire service area over a 12-month period, the agency must bid Heating System Services using the formal competitive bid process.

- d. The agency may use the sample Clean and Tune RFQ procurement instrument provided in the Section 5 attachments.

- e. Agency staff are responsible for ensuring that quotation prices are reasonable. The basis for determining reasonableness include, but are not limited to, comparison with prior year costs and comparison with other weatherization agencies.
- f. Complete the blank spaces in the RFQ to provide necessary information to vendors (time limits, service area, re-works and client complaints).
- g. Include the county name with the page number on the three pricing pages (e.g., 1-Saline, 2-Saline, 3-Saline). Do this only on the pricing pages. This will enable the agency to provide separate pricing pages for each county rather than separate RFQs, thus reducing administrative costs. For example, if a contractor indicates interest in four counties, fasten the four sets of pricing pages matching those counties to the RFQ, and give the document to the contractor, rather than giving him or her four separate RFQs.
- h. Provide an estimated quantity of Clean and Tunes on the RFQ cover page. It is recommended that the estimated quantity of clean and tunes be based on the number of clean and tunes done during the previous program year and adjusted based on current-year estimated production.
- i. A quantity of "1" may be used for General Repair items due to difficulty in estimating usage. If an agency chooses to use an estimated quantity greater than one, it is recommended that the estimated quantities for general repair line items be based on the repairs called for during the previous program year and adjusted based on current year estimated production.
- j. If the agency uses telephone solicitation, an RFQ for each bidder must be completed at the time of the telephone conversation, identifying the contractor and the contractor's prices. This RFQ must be signed by the contractor if he or she is the winning respondent.

3. Preparation of the Furnace/Air Conditioner Replacement RFQ for Use.

When bidding furnace or air conditioner replacement, agencies have the following bidding options (if the expected cost is less than \$50,000 over a 12-month period, for an agency's entire service area):

- a. Informal telephone or written bids for furnace or air conditioner replacement as needed. (This method is not recommended for agencies that need a large number of Clean and Tunes and general repairs performed.)
- b. Formal written bids for furnace and air conditioner replacement.

If an agency expects to spend more than \$50,000 in furnace or air conditioner replacements for its entire service area over a 12-month period, the agency must bid furnace and air conditioner replacements using the formal competitive bid process.

- c. The agency may use the sample Furnace RFQ procurement instrument provided in the Section 5 attachments.
- d. Complete the blank spaces in the RFQ to provide necessary information to the vendors.

- e. If the agency uses telephone solicitation, an RFQ for each bidder must be completed at the time of the telephone conversation, identifying the contractor and the contractor's prices. This RFQ must be signed by the contractor if he or she is the winning respondent.

4. Quality Standards for Heating System Clean and Tune, Repairs and Replacements

Service and materials must meet or exceed the specifications listed in 10 CFR 440 Revised Appendix A, or subsequently approved standards that supersede those specifications.

E. Financial Audit Bid Requirements

See 2 CFR 200.509 – Auditor Selection.

VI. Solicitation

A. Type of Procurement

1. Under \$10,000 - No Bid Required

All purchases shall be made by competitive procurement except those that are a single or repetitive purchase of like items within a 12-month period, with a total value below \$10,000.

Note: All vehicle purchases, even if the purchase price is below \$10,000, require both department and DOE approval before the vehicle may be purchased.

2. \$10,000-\$49,999.99 - Informal/Telephone/Written Bids Required

Single or repetitive purchases of like items or services, within a 12-month period, with the total value of \$10,000 to \$49,999.99 must be procured through the competitive process by informal/telephone/written bids. The agency must obtain a minimum of three (3) competitive bids. (See Sole Source; Sole Response; and “No bid” Response, Part VII, B of this section) However, informal/telephone/written bids are to be completed each time the item(s) is (are) needed. Purchases within this dollar-value window may also be procured by sealed, written bids. However, if the cumulative purchases in a 12-month period exceed \$49,999.99, then a formal bid process must be completed.

The agency may wish to use the Telephone Bid Record form. (See Attachment 5-11, Form H.)

The agency may wish to require telephone bidders to submit written bids to the agency before the end of five working days in order to be eligible for a contract award.

Before any work is awarded, a contract between the agency and the contractor must be signed by both parties, which includes all of the clauses and disclaimers required by the Program Operations Manual. (See Subsection V, C, 1, b, (19) of this section.)

All informal bid documentation (not related to a specific home, such as a RFQ for a furnace, because that bid documentation should be included with the specific client file it pertains to) should be maintained in the agency's general/master bid files.

3. \$50,000 or more - Formal, Sealed Bids Required

Unless bids are done on a home-by-home basis, (see part V, C. of this section) purchases of items or services, within a 12-month period, with a total value of \$50,000 or greater must be procured through the formal competitive bid process. These purchases must be completed by advertised, sealed, written bids. The agency must obtain a minimum of three competitive bids. (See Subsection VI, B, Ensuring Competition and Subsection VII, B, Sole Source, Sole Response and “No Bid” Response in this section).

Before any work is awarded, a contract between the agency and the contractor must be signed by both parties, which includes all of the clauses and disclaimers required by the Program Operations Manual. (See Subsection V, C, 1, b, (19) of this section.)

B. Ensuring Competition

The agency must abide by federal requirements for fair and open competition. This includes the development and updating of bidders lists and public announcements when appropriate.

The agency shall advertise for proposals in at least two daily newspapers of general circulation, in such places as are most likely to reach prospective bidders, at least fourteen (14) days before proposals for such purchases are to be opened. The agency may also advertise in minority newspapers and may provide such information through other media outlets, such as websites, radio, etc.

C. Pre-bid and Pre-quotation Conferences

Agencies are encouraged to hold pre-bid and pre-quotation conferences, open to all interested parties, to clarify bid procedures and answer any questions about the bid process.

It is suggested that the following items be discussed at the pre-bid conference, and at pre-quotation conferences, if appropriate: 1) how to complete and submit the procurement document; 2) criteria to be used to evaluate bid price; 3) how corrections will be handled; 4) how to obtain information regarding material specifications; 5) nondiscrimination provisions; 6) criteria for past performance or submittal of performance bonds; 7) examination of sample products; 8) right of agency to accept and reject bids; 9) contract alterations; 10) contract termination; 11) remedies in case of default/liquidated damages; 12) warranties and guarantees; 13) indemnities; 14) shipping instructions; 15) covenant against contingent fees; 16) lien waivers; 17) discounts; 18) bid bonds; 19) protests; 20) withdrawals; 21) liability; 22) contractor debarment certification; and 23) contractor registration with the Missouri Secretary of State Office.

D. Handling Bidders' Questions

The agency must ensure that, during the solicitation phase, information is provided equitably to all bidders.

E. Contractor Debarment Certification

The bidder certifies by signing the agreement that they are not presently debarred, suspended, proposed for debarment, declared ineligible, voluntarily excluded from participation, or otherwise excluded from or ineligible for participation under federal assistance programs. This must be verified by the agency prior to award of the contract. **NOTE:** Copies of the internet debarment search pages, (even if they indicate “No Results Found”) must be kept in the agency’s master/general bid files.

The following is a link to the State of Missouri’s contractor suspension/debarment list:
<https://purch.oa.mo.gov/media/pdf/suspendeddebarred-vendors>

The following is a link is to the federal Excluded Parties List System:
<https://www.sam.gov/portal/SAM/>. Click the “Search Records” button, then click the “Advanced Search – Exclusion” button.

F. Physical Handling of the Returned IFB/RFQ

The agency must ensure that sealed bids are checked in and logged when received. The log should include identifying the bidder, bid subject, and time and date the agency received the sealed bid on the outside of the envelope. The agency must ensure that the sealed bids (and bid bond, if any) are kept in a secure location (under lock and key) until time for the bid opening.

G. Handling of Sealed Bid – Photocopy

If the agency has required the bidder to submit a photocopy of the IFB, the photocopy must remain inside the sealed envelope in the agency’s files for future review or legal settlement. Bidders who do not provide an appropriate photocopy when required to do so are nonresponsive and ineligible for bid award.

H. Withdrawal of an IFB/RFQ Prior to Opening

Bidders should be allowed to withdraw their bid prior to the Bid Opening, if this occurs before the bid deadline has passed. The bidder may resubmit a bid(s) as long as the resubmitted bid(s) is (are) received prior to the bid deadline. Once a bid has been withdrawn and the bid deadline has passed, resubmission shall not be allowed.

VII. Bid Opening

A. Public Opening

Formal, sealed bids must be opened and read aloud in a public setting. A minimum of three people must be present at a sealed-bid opening. The agency must also provide for public inspection of all bids during and after opening (provided this does not hamper the bid qualification and evaluation process). Copies of the bids, corrections and evaluations/tabulations should be made available immediately to any interested party.

B. Sole Source; Sole Response; and “No Bid” Response

Sole Source purchase exists when: 1) supplies are proprietary and only available from the manufacturer or a single distributor; or 2) based on past procurement experience, it is determined that only one distributor services the region in which the supplies are needed; or 3) supplies are available at a discount from a single distributor for a limited period of time.

An agency must request prior approval, with written justification, from the department prior to making a purchase (commodity or service) from a sole source vendor.

Sole Response exists when: 1) only one bidder has responded to a bid solicitation; or 2) only one bidder has met all of the bid requirements.

1. The agency must document its efforts to ensure competition and maintain that documentation in its records for monitoring purposes.
2. If an agency encounters a sole-response situation, and the bid price is \$10,000 or greater, the agency must receive department approval to accept the bid. A cost analysis must be submitted to the department at the time the agency seeks sole response bid approval. The cost analysis must be submitted on the “Sole Response Approval Request Form” (See Attachment 5-11, Form E or F). Choose the appropriate form because there is one for materials and one for services. Submit the completed form to the department.
3. A “No Bid” response exists when a bidder returns the bid marked as “no bid.” One “no bid” response from a bidder/vendor may be counted toward the requirement for three competitive bids, provided that the “no bid” vendor could have reasonably been expected to provide the commodity/service.

C. Corrections to the IFB

During the bid qualification process, the bidder and/or the agency may, in a public setting, make corrections to the bid for either only those items that will in no way affect the bid prices that have been quoted or the validity of the bid. These corrections are strictly limited to clerical-type information, e.g. wrong or missing dates, failure to submit an address or telephone number, etc. Corrections shall not include any specific or technical requirements listed in the invitation for bid, i.e. submission of the bid by a specified deadline, failure to submit the bid in a marked and sealed envelope, failure to fulfill all bid requirements, etc.

Correctable errors will be allowed in order to prevent an otherwise valid bid from being disallowed due to an unintentional oversight or error on the part of the bidder that does not involve data or information used for comparative or evaluative purposes. The actual correction of an error shall be performed only by authorized agency personnel at the time of the bid opening. All correctable errors must be fully documented by the agency and witnessed, in the presence of either the bidder or two other disinterested persons not affiliated with either the agency or the firm whose bid is corrected, or by a Notary Public.

D. Preliminary Award

A preliminary award may be announced at the bid opening, with the understanding that the bids will need to be closely evaluated before final award will be made.

E. Withdrawal of Bid After Bid Opening

All bidders shall be allowed to withdraw their bid at any time until the award of the RFP has been completed. Once a bid has been withdrawn from consideration after bid opening, corrections or re-submissions shall not be allowed.

A bidder who is chosen as the winner, both parties having signed the bid, is obligated to fulfill the terms of that contract with the agency. Non-fulfillment of any of the terms of the contract shall be deemed as a breach of contract. In the event of such a breach of contract, the agency shall seek remedies as stated in the contract and to the full extent that the law provides, including forfeiture of the entire amount of the bid bond to the agency. The entire amount of the bond shall be retained by the agency and applied to the weatherization program. The department must be notified immediately when bonds are retained by an agency. The agency also may refuse to accept future bids from that vendor for a period not to exceed two years.

VIII. Bid Evaluation and Award

A. Evaluation Criteria

Bid evaluation and award must be based on evaluation methodology clearly stated in the procurement document. The department may require justification for evaluation methodology.

All bids must be evaluated based on the documents submitted. Prices must be firmly and clearly stated in handwritten or typewritten indelible ink.

IFB award shall be made only to a responsible bidder whose bid is both responsive to the agency's solicitation and extends to the agency the most advantageous price.

For both material items and contracted services the, "lowest and best" bid must be accepted. In determining the lowest and best award, factors may include, but are not limited to, value, performance, and quality of product. These evaluation criteria factors must be clearly identified in the IFB. If the lowest and best bid is not accepted then documentation must be maintained in the files giving the reason why and the bid must be approved by the department.

For contracted services, the agency may choose to award the contracted services to primary, secondary, tertiary, etc., contractors. If the agency makes a decision to award the contracts in that manner, the bid specifications must include the information on how the services will be awarded. In addition, the primary, secondary, and tertiary contracts must be awarded at the same time. The lowest bidder will be the primary contractor, the second lowest bidder will be the secondary contractor, the third lowest bidder will be the tertiary contractor, etc.

NOTE: The agency must always go to the primary contractor each time service is needed.

The agency will be required to utilize the primary, secondary, tertiary, etc. contractor in that order unless one of the following conditions applies:

1. The primary contractor cannot provide the services in the time frame requested by the agency in its IFB. In such event, the agency may award the work to the next lowest bidder (secondary contract). If the next lowest bidder (secondary contract) cannot provide the services in the period requested by the agency, the agency may award the work to the third lowest bidder (tertiary contract).
2. The agency has documented, in writing, that they have been receiving unsatisfactory services applicable to the primary (or secondary, tertiary, etc.) contractor's work performance. The agency must identify the problem(s) and give the contractor a period of time in which they will allow the contractor the ability to correct the problem(s). After an attempt has been made to do this and the problem(s) have not been corrected, the contract may be terminated.
3. If in the opinion of the agency there exists a potential conflict of interest with the primary contractor (or secondary, tertiary, etc.) on a given project, the agency may award the contract to the next lowest bidder (secondary contractor).

Circumstances may arise in which the agency discovers, after award of the primary contract, that the primary contractor cannot provide services in the requested period, performs in an unsatisfactory manner or has a conflict of interest. In these situations, the agency may cancel the contract with the primary contractor and may award a contract to the second-lowest bidder (secondary contract). If the agency discovers these kinds of issues with the secondary contractor, the agency shall cancel the contract with the secondary contractor and may award a tertiary contract.

Point systems for bid evaluations/awards can be utilized if it is clearly explained in the IFB or RFQ how the bids will be evaluated. Rebates and/or discounts shall not be considered or allowed in evaluation of the IFB or RFQ.

The agency should use a "Bidder Qualification Review" sheet, similar to the one provided in Attachment 5-8, *Form B*, to evaluate the responsiveness and responsiveness of the bid.

The agency may use the "Bid Tabulation" form provided in Attachment 5-11, *Form G* or an equivalent form to tabulate the bids received.

Agencies are encouraged to solicit bids from small, minority- and women-owned business enterprises and to include small, minority- and women-owned business enterprises on bidder lists. No special preference, however, may be given to a small, minority- and women-owned business enterprises in the bid qualification and evaluation process solely because it is a small, minority- or women-owned business enterprise.

Subcontracting: If a potential contractor plans to subcontract any weatherization work, the contractor must receive prior, written approval from the agency and the department. (See [the Department's Terms and Conditions, appendix D.](#))

If the bid documents were designed with a renewal option, the bidder's price or percentage of change of the renewal option must be included in the price evaluations when determining the lowest bid price.

B. Responsiveness

IFB (Invitation for Bid): The responsiveness of the bidder refers to whether the bidder filled out the IFB according to the agency's instructions and submitted all documentation (if any) required by the agency for use in bid evaluation. An IFB determined non-responsive is disqualified from further review.

RFQ (Request for Quote): A competitive procurement document, such as an RFQ, may be made responsive by asking for clarification from the bidder. Clarification refers to communication with a bidder "for the sole purpose of eliminating minor irregularities, informalities or apparent clerical mistakes in a proposal."

C. Responsibleness

The responsibleness of the lowest bidder must be evaluated prior to award. A bidder or respondent determined non-responsible by the agency is ineligible for contract award. Evaluation criteria include: 1) financial resources, or ability to obtain them as required during the performance of the contract; 2) ability to comply with delivery or performance schedules; 3) past performance; 4) a satisfactory record of integrity and business ethics; 5) organization, experience, controls and skills; 6) facilities and equipment; and 7) eligibility for award under applicable laws and regulations (for example, equal employment opportunity compliance).

The agency cannot limit acceptable past performance solely to previous work with the agency. (If the supplier has never had a contract with the agency, the supplier must be allowed to show prior performance with other buyers with similar needs).

D. Protests

Five working days from the date of notification to bidders of the proposed award shall be allowed for protest by the participating bidders. Final award shall only be made after the five-working-day protest period ends.

The agency must have written procedures for dealing with protests.

IX. Contract Management

A. When an IFB Becomes a Contract

An IFB becomes a contract when it has been signed by the bidder and countersigned by appropriate agency personnel. After that point, it is appropriate to refer to the document as a contract rather than an IFB or bid. Only agency forms should be used for bids/contracts.

B. Amendments to the Contract

Amendments to the contract, should any become necessary during the course of the contract, may be made only if allowed by a clause in the contract. The clause must state that the amendments will be mutually agreed upon in writing between the contractor and the agency and will be signed and dated by both parties. (The agency may use the sample amendment in Attachment 5-11, *Form I*.) It is the agency's responsibility to ensure that the price of an amended item is found reasonable.

C. Breach of Contract

Breach of contract occurs when the contractor continues to violate any of the terms or conditions of the contract after being notified by the agency of the lack of compliance and possible consequences.

The agency must have written procedures for dealing with breach of contract, and contract termination and cancellation.

D. Performance Bond

The agency shall capture the performance bond when the agency determines that the contractor is in breach of contract, through noncompliance with the terms and conditions of the contract, including, but not limited to, performance standards, technical requirements and contractual clauses.

The entire amount of the performance bond shall be captured and shall be used for weatherization program expenditures.

In the event an agency plans to capture a performance bond, the agency must notify the department in writing immediately.

E. Photocopy of Sealed Bid

If the agency has required a “sealed-bid-photocopy” from the bidder, and that photocopy must be opened, the sealed photocopy shall only be opened in the presence of appropriate parties, which may include the Executive Director of the agency, agency attorney and a Notary Public. If any discrepancy exists between the original bid and the photocopy, the bid or contract shall be immediately disqualified or discontinued (canceled or terminated) by the agency.

X. Guideline for Implementation of the Recycled Products in Insulation Requirement

A. Who and What are Affected by the Regulation

Agencies (both crew and contract), which procured \$10,000 or more of building insulation products during the previous fiscal year, are required to develop an affirmative procurement program targeting the purchase of insulation containing recycled products to the maximum extent practical. Other agencies that, during the coming year, make a single purchase of these products exceeding \$10,000 will also have to abide by this regulation at the time the purchase is made and for the remainder of the program year.

The \$10,000 threshold refers to the total amount of building insulation products purchased by the agency, not to individual types of insulation.

“Building insulation product” is defined as a material designed to reduce heat loss and that is installed between heated and unheated areas of the home. This includes, but is not limited to blanket, board, spray-in-place and loose-fill products used as ceiling, floor, and foundation and wall insulation. The regulation does not apply to air handling, acoustic, and pipe and cold storage insulation.

B. Procurement Procedures

In order to be in compliance with state plan requirements, agencies to whom this regulation applies must revise applicable portions of their procurement procedures. This includes, but may not be limited to, the material/technical specifications, handling of ties, publicity, and verification of compliance and evaluation of effectiveness.

C. The Affirmative Procurement Program

The Affirmative Procurement Program consists of the four components outlined below:

1. Preference Program

Determine the type of insulation product that will meet the agency's needs (e.g. fiberglass, cellulose, rock wool, etc.). Specify that type of insulation in the IFB.

The selection of the type of building insulation product may be based on performance characteristics, structural considerations, building codes, availability of competition, etc. In those cases where more than one type of product meets the agency's needs, the product having the highest minimum content standard should be specified.

Include in the technical specifications portion of your IFB the minimum content standard listed below for that type of insulation.

<u>Type of Insulation</u>	<u>Percent Recycled</u> (based on weight of core materials)
Cellulose	75%
Rockwool	75%
Perlite composite board	23%
PIR/PR rigid foam	9%
Foam-in-place	5%
Phenolic rigid foam	5%

Inform (via IFB) the bidders that all bidders will be required to provide estimates of the percentage of recycled materials in the products they are bidding, and the winning bidder will be required to provide certification of the recycled content prior to contract award.

There is currently no minimum content standard for fiberglass insulation. Procurement of fiberglass insulation is allowed; however, the agency must base any decision to procure a building insulation product not containing recycled materials on one or more of the following: 1) availability within a reasonable time period; 2) availability at a reasonable price; 3) compliance with federal competition regulations; and 4) technical performance of the product.

These are the only acceptable reasons for not procuring building insulation products containing recycled materials to the maximum extent practical. As always, award the contract to the lowest responsive, responsible bidder. If there is a tie, the contract will be awarded to the tying bidder whose product contains the highest percentage of recycled materials.

2. Promotion Program

The regulation requires agencies to publicize the fact that insulation products containing recycled materials are being targeted. Appropriate forums for implementing this requirement include, but may not be limited to, pre-bid conferences, advertisements, brochures, invitations for bid, pertinent correspondence, news releases, etc.

3. Estimation/Certification/Verification

The regulation requires agencies to develop estimation, certification and verification procedures. All bidders will be required to provide the agency with estimates of the percentage of recycled materials in the products they are bidding, and the winning bidder will be required to provide certification of the recycled content prior to the contract award.

The agency will verify the percentage of recycled materials contained in the insulation provided by the contractor. This verification can be done by contacting the manufacturer and providing the batch numbers. There must be documentation in the files that this contact has been made. If the insulation provided by the contractor does not meet the requirements stated in the IFB, the contractor is in violation of the contract and is subject to the agency's procedures on contract compliance.

4. Annual Review and Monitoring

The regulation requires agencies to conduct an annual review and monitoring of the effectiveness of its affirmative procurement program. The review must be documented in the agency's files.

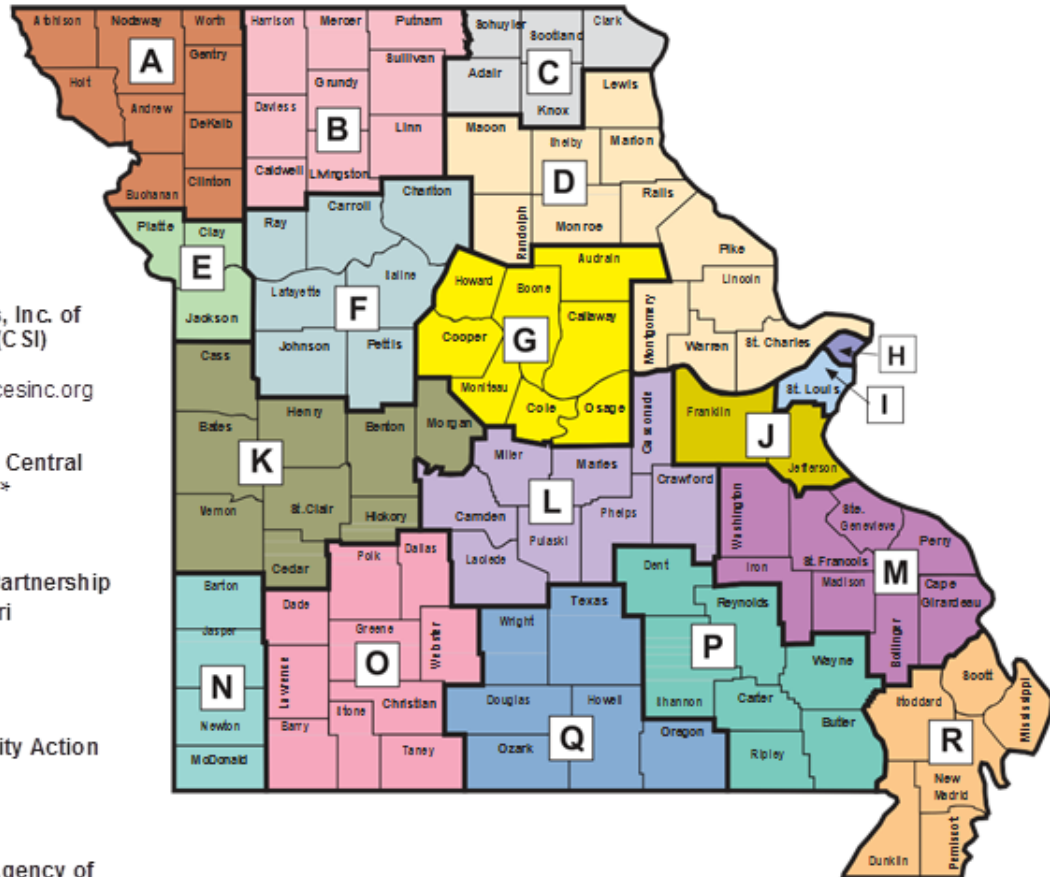
The annual review and monitoring shall cover the following points:

- a. the quantity and dollar amount of building insulation with recovered content purchased and the quantity and dollar amount of all building insulation purchased;
- b. an assessment of the effectiveness of the promotion program;
- c. an assessment of barriers to the purchase of insulation with recovered content (e.g. unavailability, resistance to use, etc.);
- d. any other information the agency feels is pertinent to assessment of the affirmative procurement program, or any information requested by the department.

To assist the agency in meeting these requirements, Attachment 5-11, *Form J*, is a sample form that covers the above points.

ATTACHMENTS

Low-Income Weatherization Assistance Program Service Areas



A Community Services, Inc. of Northwest Missouri (C SI)
660.582.3113
www.communityservicesinc.org

B Community Action Partnership of North Central Missouri (CAPNCM) *
855.290.8544
www.capncm.org

C Community Action Partnership of Northeast Missouri (CAPNEMO)
660.665.9855
www.capnemo.org

D North East Community Action Corp. (NECAC)
573.324.2231
www.necac.org

E Community Action Agency of Greater Kansas City
816.358.6868
www.caagkc.org

F Missouri Valley Community Action Agency (MVCAA)
660.886.7476
www.mvcaa.net

G Central Missouri Community Action (CMCA)
573.443.8706
www.showmeaction.org

H Urban League of Metropolitan St. Louis, Inc. (ULMSL)
314.615.3600
www.ulstl.com

I Community Action Agency of St. Louis County (CAASTLC)
314.863.0015
www.caastlc.org

J Jefferson Franklin Community Action Corp. (JFCAC)
636.789.2686
www.jfcac.org

K West Central Mo. Community Action Agency (WCMCAA)
660.476.2185
www.wcmcaa.org

L Missouri Ozarks Community Action, Inc. (MOCA)
573.765.3263 or 800.876.3264
www.mocaonline.org

M East Missouri Action Agency (EMAA)
573.431.5191
www.eastmoaa.org

N Economic Security Corp. of the Southwest Area (ESC)
417.781.0352
www.escswa.org

O Ozarks Area Community Action Corp. (OACAC)
417.862.4314
www.oac.ac

P South Central Mo. Community Action Agency (SCMCAA)
573.325.4255
www.scmcaa.org

Q Ozark Action, Inc. (OAI)
417.256.6147
www.oaiwp.org

R Delta Area Economic Opportunity Corp. (DAEOC)
573.379.3851
www.daeoc.com

* Formally known as Green Hills Community Action Agency

** Formally known as Northeast Mo. Community Action Agency

Weatherization Assistance Program – Administrative Office Locations

01 – CSI

Community Services Inc. **of Northwest Missouri**

Executive Director: Bonnie Patterson
PO Box 328, 1212-B South Main
Maryville, MO 64468-0328
Phone: 660-582-3113
www.communityservicesinc.org
WX Director: Glenn Miller
gmler@csinwmo.org
Phone: 660-582-3113

02 – DAEOC

Delta Area Economic **Opportunity Corporation**

Executive Director: Joel Evans
108 W. Center St.
Sikeston, MO 63801
Phone: 573-931-8408
www.daeoc.com
WX Director: Mindy Sanders
msanders@daeoc.com
Phone: 573-379-3851

03 – EMAA

East Missouri **Action Agency**

Executive Director: Keri McCrorey
403 Parkway Drive, PO Box 308
Park Hills, MO 63601-3170
Phone: 573-431-5191
www.eastmoaa.org
WX Director: Dave Scheck
dscheck@eastmoaa.org
Phone: 573-431-5191

05 – ESC

Economic Security Corporation **of the Southwest Area**

Chief Executive Officer: Ryan Peterson
PO Box 207, 302 Joplin Ave.
Joplin, MO 64802-0207
Phone: 417-781-0352
www.escswa.org
WX Procedural Director: Matt Daniel
WX Technical Director: Curtis Scott
mdaniel@escswa.org/cscott@escswa.org
Phone: 417-781-4437

06 – CAPNCM

Community Action Partnership **of North Central Missouri**

Chief Executive Officer: Katie Miller
1506 Oklahoma Avenue
Trenton, MO 64683-2587
Phone: 660-359-3907
www.capncm.org
WX Director: Russell Reeter
rreeter@capncm.org
Phone: 660-359-3907

07 – CMCA

Central Missouri **Community Action**

Executive Director: Darin Preis
807-B N Providence Rd
Columbia, MO 65203-4359
Phone: 573-443-8706
www.cmca.us
WX Director: Ben Burgett
benb@cmca.us
Phone: 573-443-8706

08 – ULMSL

Urban League **of Metropolitan St Louis**

President/CEO: Michael McMillan
1408 N. Kingshighway Blvd.
St Louis, MO 63113
Phone: 314-615-3600
www.ulstl.com
WX Director: Christopher Story
christopher@urbanleague-stl.org
Phone: 314-615-3608

09 – JFCAC

Jefferson Franklin **Community Action Corporation**

Executive Director: Diana Hayes
PO Box 920, #2 Merchant Drive
Hillsboro, MO 63050-0920
Phone: 636-789-2686
www.jfcac.org
WX Director: Dave Rose
drose@jfcac.org
Phone: 636-789-2686

11 – CAATLC

Community Action Agency **of St Louis County**

Executive Director: Linda Huntspon
2709 Woodson Road
Overland, MO 63114-4817
Phone: 314-863-0015
www.caastlc.org
WX Director: Keith Robinson
krobinson@caastlc.org
Phone: 314-446-4417

12 – MOCA

Missouri Ozarks

Community Action

Executive Director: David Miller
PO Box 69, 306 S Pine St
Richland, MO 65556
Phone: 573-765-3263
www.mocaonline.org
WX Director: Melinda Smith
msmith@mocacaa.org
Phone: 573-765-3263

15 – CAPNEMO

Community Action Partnership of Northeast Missouri

Exec. Director: Traci Lawrence
PO Box 966, 215 N Elson
Kirksville, MO 63501-0966
Phone: 660-665-9855
www.capnemo.org
WX Director: Eric Amini-Rad
eamini-rad@capnemo.org
Phone: 660-665-9855

18 – SCMCAA

South Central Missouri

Community Action Agency

Executive Director: Ann Smith
PO Box 6, Old Alton Rd
Winona, MO 65588-0006
Phone: 573-325-4255
www.scmcaa.org
WX Director: Gary Nichols
gnichols@scmcaa.org
Phone: 573-325-4255

13 – MVCAA

Missouri Valley

Community Action Agency

Executive Director: Angie Stoll
1415 S Odell Ave
Marshall, MO 65340-3144
Phone: 660-886-7476
www.mvcaa.net
WX Director: James Burton
burtonj@mvcaa.net
Phone: 660-886-7476

16 – OAI

Ozark Action

Incorporated

Executive Director: Terry Sanders
710 East Main St
West Plains, MO 65775-3307
Phone: 417-256-6147
www.oaiwp.org
WX Director: Ed Button
ebutton@oaiwp.org
Phone: 417-256-6147

19 – WCMCAA

West Central Missouri

Community Action Agency

Executive Director: Chris Thompson
PO Box 125, 106 West Fourth St
Appleton City, MO 64724-1402
Phone: 660-476-2185
www.wcmcaa.org
WX Director: Chris Richardson-McQueen
crichardson@wcmcaa.org
Phone: 660-476-2185

14 – NECAC

North East

Community Action Corporation

Executive Director: Dan Page
PO Box 470, 16 North Court St.
Bowling Green, MO 63334-0470
Phone: 573-324-2231
www.necac.org
WX Procedural Director: Brittany Wasson
WX Technical Director: Eric Benn
ebenn@necac.org/bkidd@necac.org
Phone: 573-324-2251

17 – OACAC

Ozarks Area

Community Action Corporation

Executive Director: Jennifer Olson
215 S Barnes Ave.
Springfield, MO 65802-2204
Phone: 417-864-3492
www.oac.ac
WX Director: Todd Steinmann
tsteinmann@oac.ac
Phone: 417-865-7797

36 – CAAGKC

Community Action Agency of Greater Kansas City

Executive Director: Clifton Campbell
6323 Manchester Ave.
Kansas City, MO 64130
Phone: 816-358-6868
www.caagkc.org
WX Director: Tim Sticha
tsticha@caagkc.org
Phone: 816-358-6868

AGENCIES' COUNTIES SERVED

CSI (01)

Andrew	002
Atchison	003
Buchanan	011
Clinton	025
Dekalb	032
Gentry	038
Holt	044
Nodaway	074
Worth	113

DAEOC (02)

Dunklin	035
Mississippi	067
New Madrid	072
Pemiscot	078
Scott	100
Stoddard	103

EMAA (03)

Bollinger	009
Cape Girardeau	016
Iron	047
Madison	062
Perry	079
St. Francois	094
Ste. Genevieve	095
Washington	110

ESC (05)

Barton	006
Jasper	049
McDonald	060
Newton	073

CAPNCM (06)

Caldwell	013
Daviess	031
Grundy	040
Harrison	041
Linn	058
Livingston	059
Mercer	065
Putnam	086
Sullivan	105

CMCA (07)

Audrain	004
Boone	010
Callaway	014
Cole	026
Cooper	027
Howard	045
Moniteau	068
Osage	076

ULMSL (08)

St Louis City	115
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JFCAC (09)

Franklin	036
Jefferson	050

CAASTLC (11)

St Louis County	096
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MOCA (12)

Camden	015
Crawford	028
Gasconade	037
Laclede	053
Maries	063
Miller	066
Phelps	081
Pulaski	085

MVCAA (13)

Carroll	017
Chariton	021
Johnson	051
Lafayette	054
Pettis	080
Ray	089
Saline	097

NECAC (14)

Lewis	056
Lincoln	057
Macon	061
Marion	064
Monroe	069
Montgomery	070
Pike	082
Ralls	087
Randolph	088
St. Charles	092
Shelby	102
Warren	109

CAPNEMO (15)

Adair	001
Clark	023
Knox	052
Schuyler	098
Scotland	099

OAI (16)

Douglas	034
Howell	046
Oregon	075
Ozark	077
Texas	107
Wright	114

OACAC (17)

Barry	005
Christian	022
Dade	029
Dallas	030
Greene	039
Lawrence	055
Polk	084
Stone	104
Taney	106
Webster	112

SCMCAA (18)

Butler	012
Carter	018
Dent	033
Reynolds	090
Ripley	091
Shannon	101
Wayne	111

WCMCAA (19)

Bates	007
Benton	008
Cass	019
Cedar	020
Henry	042
Hickory	043
Morgan	071
St. Clair	093
Vernon	108

CAAGKC (36)

Clay	024
Jackson	048
Platte	083

Agency: _____ Reviewers Name: _____ Month/FY: _____ Page _____ of _____

Do expenses match the uploaded general ledger? Yes No Are T&TA Expenses valid? Yes No

Client Name: _____ MoWAP Job #: _____

✓	X	N/A	Own Rent	Site built Mobile Home
_____	_____	_____	Do Energy Savings appear correct? (kWh < 13,500/MMBtu < 84)	
_____	_____	_____	Application Form: <input type="checkbox"/> Address <input type="checkbox"/> Signature <input type="checkbox"/> Date	
_____	_____	_____	SSN Documentation: _____ Last 4 Match <input type="checkbox"/> First 5 Redacted	
_____	_____	_____	Income _____ Size of family _____ Over 19 _____ DE Income Calculation _____	
_____	_____	_____	Reverification Application: <input type="checkbox"/> Signature <input type="checkbox"/> Date	
_____	_____	_____	Reverification Income _____ DE Income Calculation _____	
_____	_____	_____	Proof of Ownership	
_____	_____	_____	LL Agreement: Was there a LL contribution? No Yes \$ _____	
_____	_____	_____	Utility Bill(s) Fuel types: <input type="checkbox"/> Gas <input type="checkbox"/> Electric <input type="checkbox"/> Propane <input type="checkbox"/> EG <input type="checkbox"/> EE	
_____	_____	_____	<input type="checkbox"/> Name <input type="checkbox"/> Address <input type="checkbox"/> Account number <input type="checkbox"/> Utility Name	
_____	_____	_____	Section 106 Documentation: <input type="checkbox"/> Age <input type="checkbox"/> Activities <input type="checkbox"/> Not exempt	
_____	_____	_____	Project Photograph: <input type="checkbox"/> Color <input type="checkbox"/> Front of home	
_____	_____	_____	Client Interview Form: <input type="checkbox"/> Dates match <input type="checkbox"/> Signature present/matches	
_____	_____	_____	NEAT/MHEA Input Report & Recommended Measures: Last Run Date: _____	
_____	_____	_____	Did all ECM's Cost Test? Yes No	
_____	_____	_____	Technical Forms: <input type="checkbox"/> Mech Sys <input type="checkbox"/> Comb Spill <input type="checkbox"/> Diag Field <input type="checkbox"/> Baseload	
_____	_____	_____	Incidental Repair/LCNC Forms: <input type="checkbox"/> Incidental in FSB <input type="checkbox"/> LCNC in NEAT <input type="checkbox"/> Form Uploaded	
_____	_____	_____	ASHRAE 62.2 Form: <input type="checkbox"/> Final <input type="checkbox"/> CFM Reduced <input type="checkbox"/> Matches MoWAP	
_____	_____	_____	<input type="checkbox"/> Fan Installed Answered <input type="checkbox"/> Fan Needed? <input type="checkbox"/> Fan installed	
_____	_____	_____	WO Change Form: Approver & Date _____	
_____	_____	_____	Individual Bid: Lowest Bid _____ <input type="checkbox"/> HVAC Replaced?	
_____	_____	_____	Invoices: <input type="checkbox"/> Match Funding Source Breakdown? <input type="checkbox"/> Start & End Dates?	
_____	_____	_____	<input type="checkbox"/> Make/Model/Serial No.? <input type="checkbox"/> Material & Labor breakdown	
_____	_____	_____	Daily CAZ Test forms	
_____	_____	_____	QCI Form: <input type="checkbox"/> Dates match <input type="checkbox"/> Signature present/matches	
_____	_____	_____	DE Approvals: <input type="checkbox"/> Cost <input type="checkbox"/> Dr. note <input type="checkbox"/> Emergency Service	
_____	_____	_____	T&TA: <input type="checkbox"/> DOE <input type="checkbox"/> LIHEAP <input type="checkbox"/> LIHEAP ARPA	
_____	_____	_____	GL: <input type="checkbox"/> DOE <input type="checkbox"/> LIHEAP <input type="checkbox"/> LIHEAP-ARPA <input type="checkbox"/> Empire Electric <input type="checkbox"/> Empire Gas	

NOTES:



Agency Reimbursement Guide



Getting started

- A. On the Home screen in MoWAP, find the pending reimbursement section. At the bottom of the section, there will be a white box that says, “Change grid size”. Click the arrow and choose show all.
- B. Find your agency and click into their DOE or DOE BIL reimbursement. Do this by clicking the pencil to the left.
- C. Scroll down until you see the list of client files.
- D. Choose your client and pull up the Client File Summary Form (CFSF). Do this by clicking the paper icon to the left of the job number. Keep this form pulled up throughout your review. This form will be used to compare information entered into MoWAP, with information on the uploaded documents.

Client File

- A. Enter the Client File. Do this by clicking the pencil icon to the left of the job number.
- B. The top of the page shows all of the grants that this home was charged to. Ensure that the home was not charged to both DOE and DOE BIL. If it was, make a comment. If the home was charged to Empire Electric (EE) or Empire Gas (EG), check the corresponding box/boxes next to utility bill.

Comment: *The home was charged to both DOE and DOE BIL. It can only be charged to one or the other. Please correct.

- C. On your Reimbursement Checklist (RC), next to Social Security Documentation, record the last 4 SSN.
- D. On your RC, in the Income row, note the size of family unit. To do this, you will count the number of names in the “Household Members” section. Then you add one to include the applicant.
- E. Ensure that the applicants name is not listed in the “Household Members” section in MoWAP. If it is, this will need to be removed. Make a comment on your RC.

Comment: *The applicant is listed in the household members section. This is counting the applicant twice. Please remove the applicant from the Household Members section.

- F. On your RC in the Income row, note the number of tenants that are over 19. This is in the “Household Members” section. Count everyone over 19 in the “Age When Applied” column. Then add one for the applicant.
- G. On your RC in the Income row, note the Household Income.
- H. On your RC next to Utility Bills, note the fuel types.
- I. Look at the estimated Weatherization Cost. If this amount is more than \$15,000, alert yourself to look for DE Approval in the file. Do this by checking the “Cost” box in the DE Approval section on your RC.

- J. On your RC, next to Section 106, check if the home is non-exempt from SHPO, exempt due to age, or exempt due to activities.

Note: If the home is less than 45 years old, then it has to be marked exempt due to age (Built after 1977).

- K. If the home is exempt, mark the NA box to left of Section 106 on your RC.

- L. If the home is less than 45 years of age and is marked exempt due to activities, make a comment.

Comment: *The SHPO is marked exempt due to activities and it should be marked exempt due to age. Please correct.

- M. Look at the kWh and MMBTu. If the kWh is less than 13,500 and the MMBtu is less than 84 mark the DO Energy savings as “Good” on your RC. If either is out of range, make a comment.

Comment: *Please explain why the kWh is more than 13,500 and/or MMBtu is more than 84.

- N. Look for any notes. These will be in the “Comments” box or in the “Infiltration” section. Note any comments that will pertain to your review. Examples: special permissions, utility information, income information, blower door information, etc.

- O. On the CFSF, look at the Funding Source Breakdown. If there are costs under “Material Incidental Repairs,” check the box next to the “Incidentals” box next to Incidental Repair Form on your RC.

Work Orders

- A. Click into the Work Orders. Do this by clicking the pencil icon to the left of the Provider.

- B. On your RC next to WO Change Forms, note the names of approvers and dates if there are any change orders listed in MoWAP.

- C. Compare Estimated Costs to Actual Costs. Look for any significant differences. If the Actual Cost is significantly different from the Estimated Cost, check to make sure that it is within limits. Do this by taking the SIR times the estimated cost. If the Actual Cost is less, then it is within limits. If it is not within limits, speak with a technical staff member before making a comment.

Comment: Case specific.

- D. Ensure that all non-health and safety measures have an SIR of 1.0 or greater. Infiltration Reduction may be lower than 1.0. If there are SIRs under 1.0, talk with a technical staff before making a comment.

Comment: Case specific.

- E. If there are multiple work orders, ensure that no measure is included on more than one work order. If the same measure appears on multiple work orders, make a comment.

Comment: Case Specific.

- F. Check to see if there was a fan installed. Note the answer on your RC in the ASHRAE section by checking the box next to “Fan Installed.”
- G. If your Section 106 is marked “Exempt Due to Activities,” check to make sure there are no window or door replacements. If you see a window/door replacement, talk with a technical staff before making a comment.

Comment: *The home is marked exempt from SHPO review due to activities, and the work orders show a door/window replacement. Please explain.

Note: Storm windows are ok. If there are door replacements, you can look in the Input Report for a note that states the doors are like kind. Like kind, replacements are ok.

- H. If any measure type is listed as “incidental” or “low cost no cost (LCNC),” mark the “Incidentals” box next to Incidental Repair Form on your RC. Check the CFSF to make sure that the costs were marked as incidental in the Funding Source Breakdown. If there were incidental measures, but no incidental charges, make a comment. **Although incidental repairs and LCNC measures are reported on the same form, only incidental repairs are recorded in the funding source breakdown.**

Comment: *There are measures that are labeled as incidental, but there are no incidental costs in the Funding Source Breakdown. Please correct.

- I. Is there an air conditioner replacement that did not cost test **AND** no member of house is 60 or older? If the answer is yes, alert yourself to look for DE approval by checking the Doctor’s note box next to DE Approvals on your RC.
- J. Was there a HVAC replacement done (furnace, air conditioner, or water heater installed)? If yes, check the “HVAC Replaced” box on your RC, next to Individual Bid Documentation.

Note: If you have any questions please consult with a technical staff member.

Reimbursement Checklist

Go into the document uploads.

Client Application

- A. Make sure that the application is uploaded. If it is not, make a comment.

Comment: *The Client Application is not uploaded. Please upload.

- B. Compare the address on the application to the address on the CFSF. They should be the same. If they are, check the Address box on your RC. If they are not, make a comment.

Comment: *The address in MoWAP is entered incorrectly. Please enter the correct address.

- C. Compare the number of family members on the application to the number you noted on your RC next to size of family. If it matches, mark family size next to Application on your RC. If the family sizes do not match, make a comment.

Comment: *There is a family member on the application that is not in MoWAP. Please explain why this family member was excluded or enter them into MoWAP. **OR** There is a name in the Household Member Section in MoWAP that is not on the application. Please explain who this member is or remove from MoWAP.

- D. Check the uploaded application to make sure that it is signed by the applicant. If it is, check the Signature box on your RC. If it is not signed, make a comment.

Comment: *The application is not signed. Please upload a signed application.

- E. Compare the date on the uploaded application to the application date on the CFSF. If the date is the same, mark the date box on your RC. If the dates are not the same, make a comment.

Comment: *The date on the application does not match the date entered in MoWAP. Please enter the correct date in MoWAP.

- F. If you have all your checks, mark under the ✓ next to Application Form on your RC. If you had to make a comment, mark under the X.

Social Security Number

- A. Make sure there is something uploaded. If there is not, make a comment.

Comment: *The SSC is not uploaded. Please upload.

- B. Ensure that the documentation uploaded is for the applicant. If not, make a comment.

Comment: *The SSC uploaded is not for the applicant. Please upload the applicant's SSC information.

- C. Ensure that the first 5 digits of every social security number has been redacted. If it has not, make a comment.

Note: This is a new rule and will only apply to applications dated after 11/16/22.

Comment: *The first five digits of all social security numbers must be redacted. Please redact and upload.

- D. Compare the last 4 of the SSN to the last 4 you recorded on your RC. If they do not match, make a comment.

Comment: *It appears the wrong SSN was entered in MoWAP. Please enter the correct SSN.

- E. Ensure that the uploaded document is acceptable. Acceptable forms of SSC documentation include the client's social security card or a third-party printed document that has the full nine digits of the Social

Security number, the client's name, and identifies the source of the document (usually a government agency). If the form is not acceptable, make a comment.

Comment: *The uploaded SSN documentation is not an acceptable form. Please upload a correct documentation of SSN.

Note: All information has to be printed on the document, not written. A third party document means that neither the client nor the agency is the originator of the document. A tax return would not be an acceptable document, as it is originated by the client (even if it is printed by a tax preparer).

- F. If you have not had to make any comments, mark under the ✓ next to Social Security Documentation on your RC. If you had to make a comment, mark under the X.

Proof of Income

- A. On the CFSF make sure that the income verification date is within three months of the application date. If it is not, make a comment.

Comment: Income must be verified within three months of the application date. Please ensure that income verification is done timely.

- B. Make sure that a full three months of income was collected. If there is not a full three months of income, make a comment.

Comment: The income uploaded was not for a full three month period. Income should be collected for a full three month period. Please ensure that notes are made when the client has a gap in income.

- C. Make sure that the three months of income is for the three months preceding the application month. (Example: Application month is November, collect August, September, and October). If it is not make a comment.

Comment: The income collected was not for the three months preceding the application date. Please ensure that income is collected for the three months preceding the application month.

- D. If no one in the home is claiming any income, ensure that a **notarized** zero-income form signed by the applicant is uploaded. If it is not, make a comment.

Comment: *When no one in the household is claiming income, a notarized zero income form must be uploaded. Please upload.

- E. If there is income uploaded, ensure that there is income or a statement of zero income for everyone in the house that is over 19. If there is not, make a comment.

Note: The zero income forms do not have to be notarized if someone in the family has income.

Comment: *The income for Blank was not uploaded in MoWAP. Please provide the income or a no income statement for Blank.

- F. Make sure that the documents uploaded are an acceptable form of income documentation. **Bank statements may not be used for income verification, and tax returns are only allowed for household members who are self-employed.** Year-end tax documents such as W2s, 1099s, K-1s, etc., may **not** be used for income verification, unless they are accompanied by written approval from DE staff.

Note: WPN 23-3 can be found on the last page. It covers the definition of income and income exclusions.

- G. If an unacceptable form of income is uploaded, make a comment.

Comment: *Case specific.

NOTE: If the client has re-verified income, you can skip H-J and do it under re-verification.

- H. Use the uploaded documents to calculate the client's income (See below how to calculate). Enter the income next to DE Income on your RC. Compare the agency entered income to DE income. This should be fairly close. If it is not make a comment.

Comment: *The income entered in MoWAP was figured incorrectly. Please make sure that you are calculating income according to the manual.

- I. Compare your calculation to the applicable Poverty Income Guidelines. If the calculation is more than the 200% limit, make a comment.

Comment: *Case specific.

Note: If you are having trouble understanding the agency's calculation, you can click the "Income Breakdown" button in MoWAP (next to Household Income). This will give you a better insight on how they figured income.

- J. If you have not had to make any comments, mark under the ✓ next to Income on your RC. If you had to make a comment, mark under the X.

How to Calculate Income

SSI (Supplemental Security Income)

If anyone in the home receives SSI, the home is automatically income eligible. Please ensure that it is Supplemental Security Income. On the 'Add Income Source' entry screen, agencies should have selected "SSI" as an income source, but they must also have entered the amount of the monthly payment. An incorrect entry of \$0 income must be fixed for MoWAP's total household income calculation to be correct.

Social Security benefit letter

When calculating income based on a client's Social Security benefit letter, any pharmacy or medical insurance premium deduction (such as Medicare) **is considered an income exclusion and should not be included in the income calculation.** Take the benefit amount minus the mentioned deductions and times it by 12. The uploaded benefit letter should be within a year of application.

Tax returns for self-employed only

Determine if they are actually self-employed. For the purposes of this program, a self-employed person will be defined as one who has income as an owner or partner in a business, or from rental real estate, royalties, farming, or other endeavors reported on any of lines 3, 5, 6, or 8 on Schedule 1 of their 2020 Federal Form 1040 tax return. (You will need their Form 1040 and their Schedule 1 for Form 1040; Please see Attachments 2-9.1 and 2-9.2). If all of these lines are blank, they are **not** considered self-employed (for the purposes of our program). If there **is** an amount on any of those lines (positive or negative), then they should be considered self-employed

Take line 9 on Form 1040. It says this is their total income, but it does not include the amounts on lines 2a, 3a, 4a, 5a, and 6a, which may not be taxable, but are considered income by DOE. Add any amounts in lines 2a through 6a to the amount on line 9. This will be the amount you will use for the annual income of the person listed on Form 1040, page 1 where it says, “Your first name and initial”. If there is also a name in the space that says, “If joint return, spouse’s first name and initial”, then that amount will be the **combined, total** income for both of those people

Using LIHEAP approval

Must be the LIHEAP E1PY Payment Information screen or the LIHEAP E1RG Registration Information screen printout.

If the LIHEAP E1PY Payment Information screen shows zero income for the household, a zero income form does not have to be completed. However, the E1PY form must show that a LIHEAP payment was made within the 12-month period preceding the application date.

If the LIHEAP E1RG Registration Information screen is used, the STATUS field must show either “Eligible”, “Approved Payment in Process”, or “Approved” in order to use that printout for income verification. If the STATUS field says “Pending in Progress”, you will have to wait until an eligibility determination has been made by LIHEAP. If the STATUS field says “ineligible” or “denied”, then you cannot use LIHEAP as the source for eligibility documentation.

Check stubs

The pay date should be the date referred to when determining what month the income was earned in. Using the gross amounts, add all the income for the three month period and take the total times four.

Re-verification

- A. Determine if re-verification is needed. To do this, use the CFSF. Is the first day of work within a year of the income verification? If it is, re-verification is not needed. If the first day of work, takes place more than a year after the initial income verification date then you will need re-verification. If not needed, check the NA box next to Re-verification Application and Re-verification Income on your RC.

- B. If there are re-verification dates entered and they were not needed, these are false dates. Make a comment.

Comment: There are false re-reverification dates entered. This indicates that information in MoWAP may not be being entered timely. Please make sure information is being entered into MoWAP in a timely manner.

- C. Ensure that there is a re-verified application and income uploaded. If it is not, make a comment.

Comment: *The re-verification application and income are not uploaded. Please upload.

- D. Use the uploaded documents to calculate the client's income. (Use the "How to Calculate Income" section above). Enter the income next to DE Income on your RC. Compare your calculation to the applicable Poverty Income Guidelines. If the calculation is more than the 200% limit, make a comment.

Comment: Case specific.

Note: If you are having trouble understanding the agency's calculation, you can click the "Income Breakdown" button in MoWAP (next to Household Income). This will give you a better insight on how they figured income.

- E. If you have not had to make any comments, mark under the ✓ Re-verification of Income and Re-verification of Application on your RC. If you had to make a comment, mark under the X.

Proof ownership

- A. If the property is rented check NA on your RC.

- B. Ensure that it is uploaded. If no proof of ownership is uploaded, make a comment.

Comment: *Proof of ownership is not uploaded. Please upload.

- C. Make sure that the documents uploaded are acceptable (Acceptable forms below). If the uploaded documents are not acceptable, make a comment.

- D. If you have not had to make any comments, mark under the ✓ next to proof of Ownership on your RC. If you had to make a comment, mark under the X.

Acceptable documentation:

c) For Site-built Homes

- A recorded Missouri Deed
- A recorded mortgage agreement for real estate
- A current, **paid** property tax receipt (dated less than one year prior to the application date) which contains the name of the applicant and the legal address of the property
- A current homeowner's insurance policy
- A Contract for Deed -- A Contract for Deed is an allowable document to provide proof of home ownership **if** the contract is recorded with the Recorder of Deeds Office in the county where the home is located. If the Contract for Deed is not recorded, then the home must be considered a rental unit and rental procedures and policies would apply. (See VII. Rental Properties, Section 2).

d) For Mobile Homes:

- A Missouri Certificate of Title
- A recorded Missouri Deed for the property the mobile home sits on.
- A recorded mortgage agreement for the mobile home (must include the V.I.N.).
- A current homeowner's insurance policy.
- A current, **paid** personal property tax receipt (dated less than one year prior to the application date) which contains the name of the applicant and the V.I.N. of the mobile home. NOTE: a mobile home may not be listed on a personal property tax receipt. In this circumstance a Personal Property Assessment List from the County Assessor's office with the mobile home's V.I.N. would need to accompany the paid personal property tax receipt.

Landlord Agreement

- A. If the home is owned, mark NA under Landlord Agreement on your RC.
- B. Make sure a signed *Landlord/Authorized Agent Agreement and Certification* form is uploaded. If not, make a comment.

Comment: *The Landlord Agreement is not uploaded. Please upload.

- C. If the agreement indicates that, a contribution was made note this next to LL contribution on your RC.
- D. Compare the contribution information on the LL Agreement to the CFSF. This information is in the top left corner of the funding source breakdown. If this information does not match, make a comment.

Comment: The LL agreement indicates that there was a contribution. There was no contribution entered in MoWAP. Was a contribution made?

Note: You can also check the GL to see if there was a contribution made.

Utility Bills

- A. Ensure that there is a utility bill uploaded. If there is not a utility bill uploaded, make a comment.

Comment: *The utility bill is not uploaded in MoWAP. Please upload.

- B. Ensure that the bill is in the applicant's name, a household member's name, or there is a note explain whose name it is in and why. If not, make a comment.

Comment: *Please explain why the utility bill is not in the applicant's name, or a household member's name.

- C. Ensure that the address matches the address on the CFSF. If not, make a comment.

Comment: *The utility bill uploaded is not for the address on file. Please correct.

- D. Ensure that there is an account number on the utility bill. If there is no account number, make a comment.

Comment: The utility bill uploaded does not have an account number.

Note: propane bills may not have an account number.

- E. Ensure that the utility provider's name is provided. If the utility provider's name is not on the utility bill, make a comment.

Comment: The utility bill does not show the name of the utility provider.

- F. If you marked EE or EG on your RC, make sure that the corresponding utility bill is uploaded. If the home was charged to Empire and there is not an Empire/Liberty bill, make a comment.

Comment: *The home was charged to Empire. Please upload the Empire/Liberty bill or remove the charges from Empire if this is not an Empire/Liberty customer.

- G. If you have not had to make any comments, mark under the ✓ next to Utility Bill on your RC. If you had to make a comment, mark under the X.

Section 106

- A. If it is not marked NA, Ensure that is uploaded. If not, make a comment.

Comment: *The Section 106 form is not uploaded to MoWAP. Please upload.

- B. Ensure that the address is correct. If not, make a comment.

Comment: The Section106 form uploaded is not for the correct address.

- C. Ensure that the top box is marked. If not, consult with DE technical staff before making a comment.

Project Photo

- A. Ensure that there is a project photo uploaded. If there is not a project photo uploaded, make a comment.

Comment: *The Project Photo is not uploaded to MoWAP. Please upload.

- B. Ensure that photo is in color. If not, make a comment.

Comment: *The project photo must be in color. Please upload a color photo.

- C. Ensure that photo is of the front of the home. If not, make a comment.

Comment: *The project photo must be of the front of the home. Please upload a photo of the front of the home.

- D. If the numbers of the home are visible, you can compare them to the address on file. If it is obvious that the photo is of the wrong home, make a comment.

Comment: *The photo uploaded has a different address than the client file. Please ensure that you have the correct photo uploaded.

- E. If you have not had to make any comments, mark under the ✓ next to Project Photograph on your RC. If you had to make a comment, mark under the X.

Client Interview Form

- A. Ensure that the Client Interview form is uploaded. If the Client Interview form is not uploaded, make a comment.

Comment: *The Client Interview form is not uploaded. Please upload.

- B. Ensure that the date on the form matches the Date of Audit on the CFSF. If the dates do not match, make a comment.

Comment: *The date on the client interview form does not match the date in MoWAP. Please correct.

- C. Ensure that there is a signature or printed name of auditor on the form. If there is no signature or printed name, make a comment.

Comment: *The Client form is missing the Auditor's signature. Please upload a signed form.

- D. Ensure that the name of the auditor on the form matches the auditor on the CFSF. If names do not match, make a comment.

Comment: *The auditor on the client interview form does not match the auditor in MoWAP. Please correct.

- E. If you have not had to make any comments, mark under the ✓ next to Client Interview Form on your RC. If you had to make a comment, mark under the X.

NEAT

- A. Ensure that the NEAT is uploaded. If the NEAT is not uploaded, make a comment.

Comment: *The NEAT Recommended Measures is not uploaded. Please upload.

- B. On your RC next to last run on date, record the “Run On” date, located at the top of the Report.

- C. Under “Energy Savings Measure Economics”, verify that all non-health and safety measures have an SIR of 1.0 or greater. (Infiltration Reduction may be lower than 1.0) If they do, circle “Yes” next to “Did all ECM’s Cost Test.” If there are SIRs under 1, check with technical staff before making a comment.

Comment: Case Specific.

- D. Verify that all measures are included on one of the work orders. If not make a comment.

Comment: Case Specific.

- E. If there were measures in the Work Orders that were not on the NEAT Recommended Measures, make sure there is a change work order. If there is not make comment.

Comment: Case Specific.

Input Report

- A. Ensure that the Input Report is uploaded. If the Input Report is not uploaded, make a comment.

Comment: *The INPUT Report is not uploaded. Please upload.

- B. Compare the date of the top entry under “Audit Status History” to the date you entered on the checklist next to “Run On” date. If those dates do not match, make a comment.

Comment: Case Specific.

- C. If you have not had to make any comments, mark under the ✓ next to NEAT/MHEA on your RC. If you had to make a comment, mark under the X.

Technical forms

- A. Ensure that all four forms are uploaded and for the right client.

- B. Put a check next to each form as you confirm it is uploaded

- D. If you have a check next to all four forms, mark under the ✓ next to Technical Forms on your RC. If any are missing, make a comment.

Comment: *The **blank** form is not uploaded. Please upload.

Incidental Repair

- A. If you have not marked the “Incidentals” box, this form is not needed. Mark under NA on your RC.
- B. If it is needed, and not uploaded, make a comment.

Comment: *There are incidental costs and there is no Incidental Repair form uploaded into MoWAP. Please upload.

- C. Ensure the top line is filled out (client name, job #, date). If not make a comment.

Comment: *The incidental form is not filled out properly. Please upload a correct form.

- D. Ensure they identify what the incidental repair was, and what associated Energy Conversation Measure (ECM) they are tying the incidental repair to. This should make sense. If you have any questions, check with a technical staff. If the ECM is not identified, make a comment. If there was a low cost no cost measure, there should be a justification on the Incidental Repair Form.

Comment: *Please identify the ECM that the incidental repairs are tied to.

Note: An ECM is a measure with an SIR of 1 or greater (not Health and Safety).

- E. Ensure there is a separate entry for each incidental repair or LCNC on the work order(s). If not, make a comment.

Comment: *There should be a separate entry for each incidental repair. Please upload corrected Incidental Repair Form.

ASHRAE

- A. Ensure that it is uploaded. If the ASHRAE form is not uploaded, make a comment.

Comment: *The ASHRAE form is not uploaded into MoWAP. Please upload.

- B. Ensure that the form is marked Final (upper right corner). Check the final box on your on RC. If not, make a comment.

Comment: *The ASHRAE form uploaded is not marked final. Please upload the Final ASHRAE form.

- C. Compare the pre-cfm and post-cfm. This can be done easily using the CFSF. The post CFM should be lower than the pre-cfm, or there should be a note explaining why it is not. If it is lower, check the “CFM reduced” box on your RC. If the post CFM is not lower than the pre CFM, make a comment.

Comment: *Please explain why the post CFM is not lower than the Pre CFM.

- D. If the final blower door test was not done (Final Inspection CFM50 is 0), there should be a note explain why. If the final test was not done and there is no note, make a comment.

Comment: *Please explain why the final blower test was not run.

Note: Sometimes the comment is not in the comment box. The comment may be under the Infiltration section in MoWAP, which is just above the comment box.

- E. Ensure that the Final Inspection CFM50 matches the post CFM on the CFSF. If it matches, check the “Matches MoWAP” box on your RC. If they do not match, make a comment:

Comment: *The post CFM in MoWAP does not match the ASHRAE form. Please correct.

- F. If the Continuous Mechanical Ventilation needed is more than 15, then a fan should be installed. Check next to “Fan Needed”, on your RC.

- G. If a fan is needed, ensure that a fan was installed (marked on RC). If a fan was needed but not installed, make a comment.

Comment: *There should have been a fan installed. Please explain why there was not.

Note: If you previously forgot to look for a fan, you can check to see if a fan was installed by checking the work orders or the invoices.

- H. Was a fan installed/retrofit to comply with ASHRAE 62.2 should be answered Yes or No. If it is not answered, make a comment.

Comment: *On the ASHRAE form the question was a fan installed/retrofit to comply with ASHRAE 62, was not answered. Please upload a complete form.

- I. If the form states that a fan was installed/retrofit to comply with ASHRAE 62.2, the two boxes underneath, should contain numbers. If not, make a comment.

Comment: *On the ASHRAE form, the final inspection section was not filled out correctly. Please upload a complete form.

Work Order Change Form

- A. If you did not enter anything next to Approver&Date, you can check the NA box on your RC.

- B. Ensure there is a line on the work order change form for each measure that was added or deleted. If not, make a comment.

Comment: Case specific.

- C. Ensure that each line that is filled in on the work order change form has a signature and date and those match what you entered on the Approver& Date line. If not, make a comment.

Comment: Case Specific.

Individual Bid

- A. Determine if this form is needed. Does the agency do home-by-home bidding? (List below). If no, mark NA next to individual bids on your RC. If the agency does home-by-home bidding, was there a furnace, air conditioner, or water heater installed? If the answer is no, you can mark NA on your RC. If the answer is yes, this form is needed.

Home by home Agencies

CSI
EMAA
ESC
CAPNCM
CMCA
MOCA
OACAC
SCMCAA

Note: You can check to see if HVAC work was done by looking at the box next to “HVAC Replacement Done.” If you forgot to check, you can determine if HVAC work was done by checking the work orders or the invoices.

- B. Ensure that there are three bids or a sole response form uploaded. If you have three bids or a sole response form, mark “Good” on your RC. If not, make a comment.

Comment:

- C. On your RC, next to lowest bid, note the price of lowest bid.

Invoices

- A. Ensure that each invoice has start and end dates. If you have these, check the “start & end dates” box on your RC. If an invoice is missing the start and end dates, make a comment.

Comment: *The **blank** invoice is missing start/end dates. Please add.

- B. Ensure that the make/model/serial number for any appliances installed is on the invoice. If you have all of these or none is needed, check the make/model/serial box on your RC. If the make/model/serial number for any appliances installed is missing, make a comment.

Comment: *The make/model/serial number is missing from the **blank** invoice. Please add.

- C. Ensure that each invoice is broken down by material and labor. If it is, check the “material/labor breakdown” box on your RC. If not, make a comment.

Comment: *The blank invoice is not broken down by material and labor. Please separate.

- D. Use your invoices to total the materials, contract labor, and crew labor. Ensure the totals of the invoices matches the corresponding categories in the funding source breakdown on your CFSF. If all three totals match, check the “Match funding source breakdown” box on your RC. If they do not match, make a comment.

E. **Comment:** Case Specific.

Note: The crew invoices should contain the name of crew members, the dates they worked, their hourly rate, and number of hours worked.

How to add up the invoices.

Make three columns labeled material, contract labor, and crew labor.

Go through each invoice and write any amounts on the invoice in one of the corresponding columns. Once you have all of the amounts from your invoices in their respective columns, total each column. These totals should match the same categories on the CFSF under the funding source breakdown.

Note: Each of the agencies has different invoices. If there are a set of invoices that you are having trouble with, please do not spend a lot of time trying to get these to add up. Please ask a veteran monitor to go through the invoices with you.

Daily CAZ

- A. Ensure that there is at least one CAZ form uploaded. If there are no CAZ forms uploaded, make a comment.

Comment: There are no CAZ forms uploaded, please upload any CAZ forms you have. Please provide an explanation if there are no CAZ forms to upload.

- B. If the home is marked all electric, or that no work was done needing a CAZ test, there only needs to be one CAZ form uploaded. It must be done on the first day work was done, or at the Initial Audit. If it is not done on the first day, make a comment.

Comment: When homes are all electric, the CAZ form must still be completed on the first day that work was done.

- C. If the home is not all electric or marked that no work was done needing a CAZ test, there must be a CAZ form for every day that work was done. If there is not one for each day, make a comment.

Comment: There are CAZ forms missing for the following days

- D. Each form should have a legible signature or the signature should be accompanied by the printed name. If you can read who performed the CAZ test, make a note.

Comment: *The signature on the CAZ form is eligible. Please add the printed name to the CAZ form.

Note: If there was work performed that would eliminate the need for a CAZ test, it should be noted on the last CAZ performed. CAZ test would not be required after that date.

QCI

- A. Ensure that the QCI form is uploaded. If the QCI form is not uploaded, make a comment.

Comment: *The QCI Inspection form is not uploaded. Please upload.

- B. Ensure that the form is signed and dated. If not make a comment.

Comment: *The QCI form is missing the signature/date. Please ensure all forms are filled out completely when uploading.

- C. Ensure that the date matches the date on the CFSF. If they match, mark dates match next to QCI Form on your RC. If not make a comment.

Comment: *The date on the QCI form does not match the date in MoWAP. Please correct.

- D. Ensure that the auditor matches the auditor on your CFSF. If they match, mark Signature present/matches next to QCI Form on your RC. If not, make a comment.

Comment: *The auditor in MoWAP does not match the auditor on the form. Please correct.

- E. If there was HVAC work done, ensure that there are two signatures on the form. If not, make a comment.

Comment: *There was HVAC work done and there is not a signature for the HVAC inspection. Please correct.

- F. Ensure that all of the “Yes” boxes are checked. If they are mark yes’ checked next to QCI Form on your RC. If not, make a comment.

Comment: *Each yes box on the QCI form needs to be marked. Please upload the updated form.

Note: Look for comments that pertain to your review.

DE Approvals

Look at your RC next to DE Approvals. If you have checked any boxes, check the client file to make sure the corresponding DE Approvals are uploaded. If they are uploaded, mark this “Good” on your RC. If you are missing an approval, make a comment.

Comment: Case specific.

Note: The approval for cost will have an approved estimated amount on it. Ensure that the estimated cost is close to the actual cost.

General

Is this for a vacant home? If it is, ensure that there are no charges to LIHEAP. If there are, make a comment.

Comment: *The vacant home cannot be charged to LIHEAP. Please correct.

Ensure that the forms are uploaded according to the manual. If they are not, make a note.

Comment: Please ensure that documents are being uploaded according to the manual.

NOTE: Unless there are specific circumstances approved by the Department, these documents must be uploaded to each client file in MoWAP individually and not uploaded as multiple documents under the “All Required Documents” option. However, the Department understands that it may be more time consuming to upload all documents individually. For that reason, the following documents may be combined under “All Required Documents” when uploaded to MoWAP:

- Application, Social Security Card, Proof of Income Documentation
- Re-verification Application and Re-verification of Income Documentation
- The Landlord Agreement Form and Landlord Contribution
- The NEAT/MHEA Input Report and Recommended Measures
- The Mechanical Systems Audit Form, Combustion Appliance Spillage Test Form, Diagnostic Field Form, and Baseload Replacement and Ventilation Audit Form, and (if applicable) Incidental Repair Justification Form
- The Daily CAZ Testing form(s)
- The Invoices and Individual Bids documents

Wrapping up

T&TA

In the top right corner, click into T&TA. Look at the T&TA to ensure that it looks reasonable. You will do this for DOE, LIHEAP, and LIHEAP-ARPA. Check next to each grant on the RC as you check them.

General Ledger

At the top in the right hand corner, you will click the document upload button. You should have a general ledger, or trail balance uploaded for each grant. Check next to the grants on your RC as you check them. If one is missing, make a comment.

Comment: *You are missing a General Ledger for the **Blank** reimbursement. Please upload.

Readiness

A. Open the DOE grant. Scroll to Program Operations.

B. Ensure that they are leaving enough in Program Operations to cover their readiness funding. Do this by taking Program Operations Available – Program Operations Current Expenditures. The remaining balance must be more than or equal to Available Readiness- Current Expenditures Readiness.

- C. Check the readiness line. If there are Current Expenditures, make sure that you have the agencies Readiness Tracking Spreadsheet (Check with Kathy). If they have not sent in the tracking sheet, make a comment.

Comment: *Please send your Readiness Tracking Spreadsheet.

- D. Review the spreadsheet to ensure that the charges to readiness were allowable. If something was not allowable, make a comment.

Comment: *Blank charge was not appropriate for readiness funding. Please correct.

- E. If everything appears to good, ensure that Kathy has a copy of the spreadsheet

At the top of your RC, mark if you are due for a General Ledger Review. This will be noted on the monthly reimbursements assignments. If you are not due for a review, you can proceed to the “Marking Reviewed” section. If you are in need of review, you will need to see the “General Ledger Review Instructions”.

General Ledger and Indirect Cost Rate Review Instructions

- C. For each grant, print the reimbursement screen and the uploaded General Ledger.
- D. Compare the Reimbursement to the General Ledger and match the line items. It is helpful to use a colored highlighter and to number the corresponding line items on the GL and Reimbursement.
- F. If you are having issues matching items, ask another monitor. If there are major issues, it may be necessary to call the agency’s fiscal staff and go through it together.
- E. Once you have matched all the major line items, you will need to do a review of the Indirect Cost Rate (ICR). There are separate instructions for that review. Once the GL review and ICR review are done for a grant, you can mark the corresponding grant on your RC next to GL. If issues were found with any GL or ICR, make a comment.

Marking Reviewed

Reviewing

If you have completed your RC and you do not have any comments that require a return, you are ready to mark the reimbursement reviewed.

- A. On the first screen after entering the reimbursement, you will go towards the bottom, under the list of clients on the right hand side, there will be a button marked review.
- B. Click the review button.
- C. A box will pop up that says, “Review will mark this reimbursement as reviewed. Do you wish to continue?”

D. Click “OK”

Note: You will do this for each reimbursement for your agency.

- E. If you have comments that do not require a return, you will follow the steps above but also send an email. The email will state, “I have reviewed your reimbursement, and while there were no issues that required a return, there were issues that you need to be aware for future reimbursements.”

Emailing the Approver

After marking all of your reimbursements reviewed, you will send the approver (Greg) an email letting them know that the reimbursements are ready for approval.

Example Email: Greg, EMAA has two ready for review.

Returning

If you have comments that require a return, you will need to return the reimbursement.

- A. When returning a reimbursement, you have to make a note. Find the note section on the first screen after entering the reimbursement. Towards the bottom, under the list of clients, there will be a box labelled “**Notes”.
- B. If you have a few minor comments, you can make them in that box. Use this format: Please correct the following issues. Last name, job number; Comment.
- C. If you have, many comments you will need to draft an email. Compose your email before hitting return.
- D. Make sure that you account for every box you have marked comment on your RC.
- E. Once you have your email composed, send it to the individuals in the Agency Contact sheet with a green box next to their name.
- F. Once you have sent your email, return to the reimbursement and in the **Notes box write: Please see email sent **Date**.
- G. The return button is to the right of the **Notes box. Hit the return button.

Note: You will need to do this for each of the reimbursements for your agency.

- H. The Reimbursement will move from the “Pending Reimbursements” section to the “Returned Reimbursements” section on the MoWAP home screen.
- I. Wait for the agency to resubmit their corrections

Corrections

- A. When the reimbursement is resubmitted, it will show up in the “Pending Reimbursements” section on the home screen in MoWAP as before.
- B. Refer to your RC. Check each section that had a comment and ensure that the required corrections were made.
- C. Once a correction has been made, mark the corresponding box on your RC.
- D. Once everything has been marked ✓ you can mark the reimbursement as reviewed. See above.

Approved

- A. When the reimbursement has been approved, you will get an email from the approver. Print any emails sent to the agency pertaining to your reimbursement and upload them with the checklists. Upload your General Ledger Review separately, if one was due.

Weatherization Program Notice 23-3 Attachment Page 1

DEFINITION OF INCOME

A. **INCOME:** Income means Cash Receipts earned and/or received by the applicant before taxes during applicable tax year(s) but not the Income Exclusions listed below in Section C. Gross Income is to be used, not Net Income.

B. **CASH RECEIPTS:** Cash Receipts include the following:

1. Money, wages and salaries before any deductions;
2. Net receipts from non-farm or farm self-employment (receipts from a person's own business or from an owned or rented farm after deductions for business or farm expenses);
3. Regular payments from social security, railroad retirement, unemployment compensation, strike benefits from union funds, worker's compensation, veteran's payments, training stipends, alimony, and military family allotments;
4. Private pensions, government employee pensions (including military retirement pay), and regular insurance or annuity payments;
5. Dividends and/or interest;
6. Net rental income and net royalties;
7. Periodic receipts from estates or trusts; and
8. Net gambling or lottery winnings.

C. INCOME EXCLUSIONS: The following Cash Receipts are not considered sources of Income for the purposes of determining applicant eligibility:

1. Capital gains;
2. Any assets drawn down as withdrawals from a bank;
3. Money received from the sale of a property, house, or car;
4. One-time payments from a welfare agency to a family or person who is in temporary financial difficulty;
5. Tax refunds;
6. Gifts, loans, or lump-sum inheritances;
7. College scholarships;
8. One-time insurance payments, or compensation for injury;
9. Non-cash benefits, such as the employer-paid or union-paid portion of health insurance;
10. Employee fringe benefits, food or housing received in lieu of wages;
11. The value of food and fuel produced and consumed on farms;
12. The imputed value of rent from owner-occupied non-farm or farm housing;
13. Depreciation for farm or business assets;
14. Federal non-cash benefit programs such as Medicare, Medicaid, Food Stamps, school lunches, and housing assistance;
15. Combat zone pay to the military;
16. Child support, as defined below in Section E;
17. Reverse mortgages; and
18. Payments for care of Foster Children.

The Procedural Monitoring Tool can be found at the following link:

<https://dnr.mo.gov/document-search/procedural-monitoring-tool>



Department of Energy
Washington, DC 20585

WEATHERIZATION PROGRAM NOTICE 23-3
EFFECTIVE DATE: February 3, 2023

SUBJECT: 2023 FEDERAL POVERTY GUIDELINES AND DEFINITION OF INCOME

INTENDED AUDIENCE: Weatherization Grantee Program Managers, Weatherization Subgrantee Program Managers

PURPOSE: To provide Grantees with the 2023 Federal Poverty Guidelines and Definition of Income for use in the Low-Income Weatherization Assistance Program (WAP).

SUPERSEDES: Weatherization Program Notice (WPN) 22-3

SCOPE: The provisions of this WPN apply to all WAP Grantees applying for financial assistance under the Department of Energy's (DOE) WAP.

LEGAL AUTHORITY: Title IV, Energy Conservation and Production Act, as amended, authorizes DOE to administer the WAP. All grant awards made under this Program shall comply with all applicable laws and regulations including, but not limited to, the WAP Regulations contained in Code of Federal Regulations (CFR) [10 CFR Part 440](#), as applicable.

PROCEDURES: The annual revision of the U.S. Department of Health and Human Services (HHS) poverty income guidelines is published in the Federal Register which can be found at the [HHS website](#).

The attached tables display the revised guidelines showing income eligibility limits at 200 percent of the poverty guidelines per the requirements contained in Section 412(7) of the Energy Conservation and Production Act (42 U.S.C. 6862(7)). Adjusted tables for Alaska and Hawaii are also included. These guidelines are effective as of January 12, 2023, and apply to both farm and non-farm families. American Samoa, Guam, Northern Arapaho, Northern Marianas, Puerto Rico, and US Virgin Islands must select the appropriate set of poverty guidelines and include them in their State Plans for review and approval by DOE prior to use.

Grantees shall distribute these tables immediately to their Subgrantees for use in the Program from the effective date of this guidance until updated in subsequent policy documents. Additionally, this WPN provides Grantees with a definition of income for use in the WAP and required source documentation for review when requested by an outside authority.

DETERMINING ELIGIBILITY LEVELS: As defined in [10 CFR 440.3](#), low-income means that income in relation to family size which:

- (1) Is at or below 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget (OMB), except that the Secretary may establish a higher level if the Secretary, after consulting with the Secretary of the United States Department of Agriculture (USDA) and the Secretary of Health and Human Services, determines that a higher level is necessary to carry out the purposes of this part and is consistent with the eligibility criteria established for the Weatherization Program under Section 222(a)(12) of the Economic Opportunity Act of 1964;
- (2) Is the basis on which cash assistance payments have been paid during the preceding twelve-month period under Titles IV and XVI of the Social Security Act or applicable State or local law; or
- (3) If a Grantee elects, is the basis for eligibility for assistance under the Low-Income Home Energy Assistance Act of 1981, provided that such basis is at least 200 percent of the poverty level determined in accordance with criteria established by the Director of the Office of Management and Budget.

QUALIFIED ALIENS RECEIVING WEATHERIZATION BENEFITS: Grantees are directed to review guidance provided by HHS under Low-Income Home Energy Assistance Program (LIHEAP). This Guidance can be found at: <http://aspe.hhs.gov/hsp/immigration/restrictions-sum.shtml>.

ELIGIBLE RENTAL WEATHERIZATION: A dwelling unit is eligible for weatherization assistance if it is occupied by a family unit that meets the income guidelines set forth within this WPN and meets the building eligibility guidelines detailed in [10 CFR 440.22](#). A Subgrantee may weatherize a multifamily rental building containing a sufficient percentage of eligible rental dwelling units, a single-family building, or a manufactured home provided written permission is obtained from the dwelling unit's owner or the owner's authorized agent. See [10 CFR 440.22\(b\)](#) and [WPN 22-13, Weatherization of Rental Units](#).

WEATHERIZING HUD PROPERTIES: [WPN 22-5](#) extends categorical income eligibility to HUD means-tested programs. WAP Grantees and Subgrantees may certify that applicants have met the income requirements of HUD means-tested programs through mechanisms including, but not limited to, applicant documentation, interagency lists of recipients, shared system databases, etc. Method of verification of eligibility must be included in the client file. See WPN 22-5 for more details.

ANNAMARIA GARCIA

Digitally signed by ANNAMARIA
GARCIA
Date: 2023.02.03 14:37:01 -05'00'

AnnaMaria Garcia

Associate Director

Office of State and Community Energy Programs

Attachment

DEFINITION OF INCOME

A. INCOME: Income means Cash Receipts earned and/or received by the applicant before taxes during applicable tax year(s) **but not** the Income Exclusions listed below in **Section C**. Gross Income is to be used, **not** Net Income.

B. CASH RECEIPTS: Cash Receipts include the following:

1. Money, wages and salaries before any deductions;
2. Net receipts from non-farm or farm self-employment (receipts from a person's own business or from an owned or rented farm after deductions for business or farm expenses);
3. Regular payments from social security, railroad retirement, unemployment compensation, strike benefits from union funds, worker's compensation, veteran's payments, training stipends, alimony, and military family allotments;
4. Private pensions, government employee pensions (including military retirement pay), and regular insurance or annuity payments;
5. Dividends and/or interest;
6. Net rental income and net royalties;
7. Periodic receipts from estates or trusts; and
8. Net gambling or lottery winnings.

C. INCOME EXCLUSIONS: The following Cash Receipts **are not** considered sources of Income for the purposes of determining applicant eligibility:

1. Capital gains;
2. Any assets drawn down as withdrawals from a bank;
3. Money received from the sale of a property, house, or car;
4. One-time payments from a welfare agency to a family or person who is in temporary financial difficulty;
5. Tax refunds;
6. Gifts, loans, or lump-sum inheritances;
7. College scholarships;
8. One-time insurance payments, or compensation for injury;
9. Non-cash benefits, such as the employer-paid or union-paid portion of health insurance;
10. Employee fringe benefits, food or housing received in lieu of wages;
11. The value of food and fuel produced and consumed on farms;
12. The imputed value of rent from owner-occupied non-farm or farm housing;
13. Depreciation for farm or business assets;
14. Federal non-cash benefit programs such as Medicare, Medicaid, Food Stamps, school lunches, and housing assistance;
15. Combat zone pay to the military;
16. Child support, as defined below in **Section E**;
17. Reverse mortgages; and
18. Payments for care of Foster Children.

D. PROOF OF ELIGIBILITY: Grantees and Subgrantees are reminded that proof of income eligibility must be clearly identified in the client file.

1. **Availability of Supporting Documentation:** For purposes of review and audit, each client file must contain an application from the client that contains the required demographics and income for the entire family living in the residence. Do not count, or enter, earned income or unemployment compensation for minors under the age of 18 (or full-time high school students) at the time of the application. The client file must also contain evidence provided by the Subgrantee that the client is eligible to receive Weatherization Assistance Program (WAP) services. This evidence may include, but is not limited to, a memorandum from a third-party certification office stipulating the income levels of the family or source documentation for each income source listed on the application. These documents can be stored electronically or retained in hard copy for each client.
2. **Eligibility Determined by Outside Agency/Program:** If income eligibility is determined by an outside agency or program, i.e. Low-Income Home Energy Assistance Program (LIHEAP) or the U.S. Department of Housing and Urban Development (HUD), any document used to determine eligibility, such as a copy of LIHEAP eligibility or a copy of the HUD eligibility (e.g., Section 8 or Public Housing eligibility) will suffice as evidence of client eligibility. This document and any related documents must be retained in the client file.
3. **Self-Certification:** After all other avenues of documenting income eligibility are exhausted, self-certification is allowable. However, evidence of the various attempts at proving eligibility must be contained in the client file, **including** a notarized statement signed by the potential applicant indicating that the applicant has no other proof of income.

E. CHILD SUPPORT: Child Support payments, whether received by the Payee or paid by the Payor, **are not** considered Sources of Income to be added to the payee income or deducted from the payor income for the purposes of determining applicant eligibility.

1. **Payee:** Where an applicant receives Child Support from any state program or individual during an applicable tax year, such assistance **is not** considered income for the purposes of determining eligibility (i.e., where an applicant receives Child Support, he or she **does not** add that amount to his or her calculation of income for purposes of determining eligibility).
2. **Payor:** Where an applicant pays Child Support through a state program and/or to an individual, such assistance **is not** considered a deduction to Income for the purposes of determining eligibility (i.e., where an applicant pays Child Support, he or she **may not** deduct said assistance from his or her calculation of Income for the purposes of determining eligibility).

2023 POVERTY INCOME GUIDELINES
CONTIGUOUS STATES U.S. GRANTEES
EFFECTIVE January 12, 2023

INCOME LEVELS

Size of Family Unit	Threshold	200%
1	\$14,580	\$29,160
2	\$19,720	\$39,440
3	\$24,860	\$49,720
4	\$30,000	\$60,000
5	\$35,140	\$70,280
6	\$40,280	\$80,560
7	\$45,420	\$90,840
8	\$50,560	\$101,120

For families with more than 8 persons, 100% of poverty level increases \$5,140 for each additional person. Therefore, for weatherization at 200% of poverty level, add \$10,280 for each additional person.

DISASTER CERTIFICATION

AGENCY _____

CLIENT NAME _____

JOB NUMBER _____

Prior to any work being performed on your house, the following information must be provided:

- Did you receive any funds from FEMA (disaster money) for damage to your home?
(yes or no) _____
- Did you receive any funds from FEMA (individual and family grant program) for personal items?
(yes or no) _____

ALL FEDERAL FUNDS I HAVE RECEIVED HAVE BEEN SPENT ON ALLOWABLE MEASURES.

- Did you receive any funds from insurance or other sources because of the disaster damage?
(yes or no) _____

If yes, please provide a list showing:

- how much money was provided
 - who the money was from
 - what the money was provided for
-
- Do you plan to continue living in your house? (yes or no) _____

I certify that the above information is true to the best of my knowledge.

Signature of Client _____

Date Signed _____

PROCEDURES FOR WEATHERIZING FLOOD-DAMAGED MOBILE HOMES

Mobile homes manufactured after 1976 receive a Housing and Urban Development (HUD) certification during the manufacturing process. The designation is a 2- by 4-inch red and silver metal tag attached to the back end of the roadside (back door side) of the home. A mobile home damaged by flooding must be checked to ensure that the HUD label is still on the mobile home. If this label has been removed, work is not authorized. These units can be sold only for parts and scrap metal and cannot be sold or represented as a dwelling unit.

Red plastic 4- by 6-inch, "DDProhibition of Sale" stickers have been placed on homes determined by the Manufactured Housing Department of the Missouri Public Service Commission to be in non-compliance and are not to be offered for sale as a dwelling unit. If this red plastic sticker is found on a mobile home and the HUD label is still attached to the home, the unit has problems that must be repaired but that will not necessarily be considered a total loss. In these cases, contact the Public Service Commission to determine what work must be done in order to make this home safe as a dwelling unit. The HUD label is removed when the unit is deemed to be damaged beyond reasonable repair.

The city or county may also have inspected these units and may have tagged them with some other type of warning. If this is the case, the owner must be informed that the issues must be resolved with that governmental body (city or county) prior to any weatherization work.

The Manufactured Housing Department of the Missouri Public Service Commission has found that homes that have standing water above the floor level usually have received major damage to the load-bearing system of the dwelling. The walls and floor decking of a mobile home are typically glued to the floor joists with water-soluble glue. If the home has been soaked with water above the floor, virtually nothing will be holding the walls and floor together. Repair of all flood-damaged mobile homes manufactured after January 1, 1974, requires recertification that the dwelling has been brought back into compliance with the construction and safety standards to which it was originally manufactured. Therefore, repair of mobile homes manufactured in 1974 or later is impractical for the Weatherization Program if the floor has been water-soaked and is buckled.

Mobile homes manufactured before 1974 are unregulated. Issues involved in repairing and weatherizing these older homes have not been solved. The State would require site-specific approval if a subgrantee wants to address weatherizing or repairing such a dwelling.

A mobile home that has flood damage to the heating ducts and/or the underbelly area, but which still has the floor decking intact, can possibly be repaired within the normal scope of the Weatherization Program, depending on what else it needs to be properly weatherized. If there are any questions concerning the safety or livability of flood-damaged mobile homes, please contact the Department.

**Department of Energy**

Washington, DC 20585

WEATHERIZATION PROGRAM NOTICE 12-07**SUPERCEDES WPN 08-5****EFFECTIVE DATE: March 5, 2012****SUBJECT: REVISED GUIDANCE ON WEATHERIZATION DISASTER PLANNING AND RELIEF**

PURPOSE: To provide revised guidance on allowable activities using Department of Energy (DOE) Weatherization Assistance Program (WAP) resources in the event of disasters.

SCOPE: The provisions of this guidance relate to Grantees applying for financial assistance under the Department of Energy (DOE) WAP.

LEGAL AUTHORITY: Title IV, Energy Conservation and Production Act as amended, authorizes the Department of Energy to administer the Weatherization Assistance Program. (42 U.S.C. § 6861, *et. seq.*) All grant awards made under this program shall comply with applicable law and regulations including the WAP regulations contained in 10 CFR 440.

BACKGROUND: DOE previously released WPN 08-5 which expanded the original guidance issued as WPN 93-12 by including additional opportunities to use WAP resources when a disaster occurs. A review of WPN 08-5 and subsequent oversight of weatherization activities conducted during the Recovery Act period has led DOE to reconsider the additional flexibilities offered in WPN 08-5. This program notice supersedes WPN 08-05.

PROCEDURES; Generally, most Grantees have within their respective governmental structure an active Disaster Relief Office whose primary purpose is to address disaster emergencies through a general Disaster Response Plan. When disasters strike, these offices enact their response plans, which include an aggressive effort to identify and secure any resources that may be available to assist in the relief. Grantees are reminded that WAP has a very limited role in any disaster response plan. The use of DOE WAP funds is limited to eligible weatherization activities and the purchase and delivery of weatherization materials.

Use of DOE WAP Funds to address disaster related hazards

Allowable expenditures under WAP include: 1) the cost of incidental repairs to an eligible dwelling unit if such repairs are necessary to make the installation of weatherization materials effective, and 2) the cost of eliminating health and safety hazards, elimination of which is necessary before the installation of weatherization materials (10 CFR 440.18(d)(9); 10 CFR 440.18(d)(15)). To the extent that the services are in support of eligible weatherization (or permissible re-weatherization¹) work, such expenditure would be allowable. For example, debris removal at a dwelling unit so that the unit can be weatherized would be an allowable cost. Debris removal from a dwelling unit that is not to be weatherized would not be an allowable cost. Please note that the \$6,500 per dwelling unit limit continues to apply.

In addition, the regulations require that a Grantee's Weatherization Plan identify and describe the average amount of DOE funds to be used for incidental repairs (10 CFR 440.14(c) (6) (viii)). The grantee must also develop, publish, and implement procedures to ensure that Subgrantees limit expenditure of funds for installation of materials (other than weatherization materials) to abate energy-related health and safety hazards to a list of types of such hazards, permissible abatement measures and their costs necessary (10 CFR 440.16(h)). As such, Grantees should ensure that the limits on the use of WAP funds to address disaster related hazards are included in the approved Grantee Plan.

Weatherization personnel can be paid from DOE funds to perform functions related to protecting the DOE investment. Such activities include: securing weatherization materials, tools, equipment, weatherization vehicles, or protection of local agency weatherization files, records and the like during the initial phase of the disaster response. Using DOE funds to pay for weatherization personnel to perform relief work in the community because of a disaster is not allowable.

Local agencies may use weatherization vehicles and/or equipment to help assist in disaster relief provided the WAP is reimbursed according to the DOE Financial Assistance Regulations 10 CFR Part 600.

¹In the event of a declared federal or state disaster, weatherization crews may return to a unit reported as a completion to DOE that has been "damaged by fire, flood or act of God to be re-weatherized, without regard to date of weatherization". 10 CFR 440.18(f) (2) (ii). Local authorities must deem the dwelling unit(s) salvageable as well as habitable and if the damage to the materials is not covered by insurance or other form of compensation.

Reprioritization of weatherization requests coming from the disaster area

WAP rules require that priority be given to identifying and providing weatherization assistance to elderly persons, persons with disabilities, families with children, high residential energy users, and households with high-energy burdens (10 CFR 440.16(b)). However, it would be permissible to consider in households located in the disaster area, as a priority as long as the households are eligible and meet one of the priorities established in regulation and are free and clear of any insurance claim or other form of compensation resulting from damage incurred from the disaster.

CONCLUSION: Any previously approved Disaster Response Plans that were developed using WPN 08-5 guidance, as part of the annual Grantee plan or a subsequent amendment, will need to be reviewed and revised as necessary to reflect the changes in this guidance.

AnnaMaria Garcia

AnnaMaria Garcia
Acting Program Manager
Office of Weatherization and
Intergovernmental Program Energy
Efficiency and Renewable Energy

**Weatherization Assistance Program
Landlord/Authorized Agent Agreement and Certification Form**

Check One: ☐ Single-Family Unit
☐ Multi-Family (2 – 4 Units per Building) # of Units
☐ Multi-Family Complex (Five or More Units per Building) # of Units

I, _____ certify that I am the owner or authorized agent for the property located at:
 (address) _____
 and occupied by (tenant) _____

I authorize the (agency) _____ to weatherize the unit located above in
 accord with the following provisions:

1. I agree not to raise the rent on the unit(s) weatherized for a period of two years after weatherization is complete without just cause. Normal just cause for rent increases (i.e. increased costs, other building improvements, etc.) are allowable.
2. The tenant will not be evicted (during the two-year period after weatherization) due only to weatherization work completed. Eviction for lease violations is allowable.
3. To the best of my knowledge, the unit listed above has not been weatherized by the Missouri Weatherization Assistance Program.
4. I agree that tenant(s) with utility inclusive rent will receive reductions in rent when utilities are reduced as a result of weatherization.
5. Owner shall not sell premises unless the buyer agrees to assume all obligations contained in this agreement.
6. If the property is a multi-family complex (more than 5 units per building), I agree to provide a minimum of a twenty percent (20%) cash contribution of estimated labor and material project costs before weatherization work can begin on the unit(s). However, there will not be a contribution required on properties wholly owned by not-for-profit organizations, or federal, state, or local government entities.

I am contributing \$ _____ towards the labor and material costs incurred toward this Weatherization project.

Are the energy utilities included in the rent? ☐ YES ☐ NO

Please enter the total number of people for all vacant / ineligible units not applying individually:

of Units
 # of Elderly (60 and older) # of Disabled
 # of Children (19 and younger) # of Other

Owner/Agent's Name: _____ **Telephone:** _____

Address: _____

Signature: _____ **Date:** _____

Owner or Authorized Agent

Signature: _____ **Date:** _____

Agency Representative

Sample Landlord Agreement Cover Letter

Dear (landlord/owner)

Your tenant, (name of tenant) has applied for Weatherization services through (full name of agency) (XYZCAA) for their rental unit. Attached is a form authorizing XYZCAA to audit the unit and, if the tenant and property are found eligible, install Weatherization measures that would help make the rental unit more energy efficient. Your signature is required in order for XYZCAA to complete Weatherization services including an audit for energy efficiency and the installation of possible measures such as insulation and air sealing, health and safety (carbon monoxide and smoke detectors, ventilation fans, and clean and tune of furnace), and energy efficient lighting.

The measures to be installed will be determined after the energy audit has been performed and information has been entered into an energy audit software program. Any measure installed (other than health and safety) must meet cost-effective requirements as determined from the energy audit software program. Homes and rental units that were previously weatherized after September 30, 1994 are ineligible for additional weatherization services.

If you have information with regard to the section of the form requesting totals for all vacant/ineligible units, please provide it. If not, XYZCAA will work with your tenants to obtain this required information. This information is required for all rental units weatherized.

Please note that there is no cost to you unless the applicant resides in a multi-family complex of five or more units per building. While there is no requirement to contribute on rentals of up to four units per building, XYZCAA encourages you to consider a voluntary contribution that would be applied to your rental unit(s) being weatherized. This would allow XYZCAA to weatherize additional homes in our service area.

If you have questions regarding your tenant's application for Weatherization services, or the Landlord Agreement Form, please contact (name of agency contact person) at (agency telephone number), or at (contact person's email address).

Thank you for considering your tenant's application for Weatherization services.

LEGAL SERVICES OF MISSOURI

Legal Aid of Western Missouri

1125 Grand Boulevard, #1900

Kansas City, MO 64106

Telephone Number: (816) 474-6750

Website: www.lawmo.org

Counties served: Andrew, Atchison, Barton, Bates, Benton, Buchanan, Caldwell, Camden, Carroll, Cass, Clay, Clinton, Daviess, DeKalb, Gentry, Grundy, Harrison, Henry, Hickory, Holt, Jackson, Jasper, Johnson, Lafayette, Linn, Livingston, McDonald, Mercer, Morgan, Newton, Nodaway, Pettis, Platte, Putnam, Ray, St. Clair, Saline, Sullivan, Vernon, and Worth

Legal Services of Eastern Missouri

4232 Forest Park Avenue

St. Louis, MO 63108

Toll Free Number: 800-444-0514

Telephone Number: (314) 534-4200

Website: www.lsem.org

Counties served: Adair, Clark, Franklin, Jefferson, Knox, Lewis, Lincoln, Macon, Marion, Monroe, Montgomery, Pike, Ralls, Schuyler, Scotland, Shelby, St. Charles, St. Louis, City of St. Louis, Warren, and Washington

Legal Services of Southern Missouri

809 N. Campbell Ave.

Springfield, MO 65802

Toll Free Number: 800-444-4863

Telephone Number: (417) 881-0533

Fax Number: (417) 881-2159

Website: <http://www.lsosm.org/>

Counties served: Barry, Cedar, Christian, Dade, Dallas, Douglas, Greene, Howell, Laclede, Lawrence, Oregon, Ozark, Polk, Shannon, Stone, Taney, Texas, Webster, Wright, Bollinger, Butler, Cape Girardeau, Carter, Dunklin, Mississippi, New Madrid, Pemiscot, Perry, Ripley, Reynolds, Scott, Stoddard, Crawford, Dent, Gasconade, Iron, Madison, Maries, Phelps, Pulaski, St. Francois, Ste. Genevieve, and Wayne

Mid-Missouri Legal Services

1201 West Broadway

Columbia, MO 65203

Toll Free Number: 800-568-4931

Telephone Number: (573) 442-0116

Fax Number: (573) 875-0173

Website: www.mmls.org

Counties served: Audrain, Boone, Callaway, Chariton, Cole, Cooper, Howard, Miller, Moniteau, Osage, and Randolph

LIHEAP - Payment Information

Applicant SSN: DCN: Agency: A04-EMAA County: 094-ST. FRANCOIS

Applicant Name:
Last: ADAMS First: MI:

Fiscal Year (FY): 11 Program Type: EA

Household Information: (Hide) (Show)

SSN	DCN	Name(Last, First, MI)	Gender	Birth Date	Disabled	Relationship
[01]		ADAMS	F	12-01-1971	Yes	Applicant
[02]		ADAMS	F	06-06-1997	No	Member

Address 1: PATTERSON
Address 2:
City: FARMINGTON State: MO Zip: 63640

Register Date: 12-06-2010 Date Stamp: 12-06-2010 Ineligibility Reason: Case Category: A
Total Net Income: \$134.00 CARS Recoupment: \$0.00

Landlord/Renter: NO

Primary Supplier Information: (Hide) (Show)

Supplier Name: CITY OF FARMINGTON LIGHT AND WATER DEPT
Supplier Number: 121204000
Customer Name: ADAMS
Account Number:
Energy Source: ELECTRIC Service: THREATENED
Notify Date: 12-10-2010 Response: Y

Payment Information:

Paid To	Amount	Program Type	Process Date	Check Date	Check Number	Debit/Credit	Reason
121204000	\$212.00	EA	01-01-2011	01-07-2011	L 00160847		

Message: Information Found

Inquiry

E1RG E1CN E1MM E1AP E1LW E1WH E1AC E1PY E1RD E1ES E1SN E1NS E1NA E1MR E1DR E1FM E1UA E1CD

E1RG E1MM E1AP E1LW E1WH E1AC E1PY E1RD E1ES E1SI E1SN E1NS E1NA E1MR E1DR E1FM E1SS E1SD

E1CN E1UA E1CD E1PN E1ST E1CA E1CO E1CM E1IR E1UP

S024 SCLR S019

LIHEAP Registration

Applicant
 SSN: DCN: Agency: A18 - USCAA County: - JACKSON Last UserID: ARMSSTW
Applicant Information
 Last: JONES First: MI: M Date of Birth: 09-11-1979 Gender: F Verified: YES
 Fiscal Year (FY): Program Type: Registration Date: 11-19-2009

STATUS: APPROVED Benefit Amount: \$395.00

Primary Supplier Information

Supplier Name: MISSOURI GAS ENERGY Supplier Number: 100208000
 Supplier Notified Date: 12-04-2009 Supplier Response: Y - YES
 Process Date: 12-26-2009

Message: SSN On File - Enter Changes If Necessary.

Verify: (Enter YES to Confirm)

[Inquiry](#)

[Save](#)

[Print](#)

[Case Notes](#)

(No Case Notes Available)

[E1RG](#) [E1CN](#) [E1MM](#) [E1AP](#) [E1LW](#) [E1WH](#) [E1AC](#) [E1PY](#) [E1RD](#) [E1ES](#) [E1SN](#) [E1NS](#) [E1NA](#) [E1MR](#) [E1DR](#) [E1FM](#) [E1UA](#) [E1CD](#)

[E1RG](#) [E1MM](#) [E1AP](#) [E1LW](#) [E1WH](#) [E1AC](#) [E1PY](#) [E1RD](#) [E1ES](#) [E1SI](#) [E1SN](#) [E1NS](#) [E1NA](#) [E1MR](#) [E1DR](#) [E1FM](#) [E1SS](#) [E1SD](#)

[E1CN](#) [E1UA](#) [E1CD](#) [E1PN](#) [E1ST](#) [E1CA](#) [E1CO](#) [E1CM](#) [E1HR](#) [E1IR](#) [E1UP](#)

[S024](#) [SCLR](#) [S019](#)


 MISSOURI DEPARTMENT OF SOCIAL SERVICES
 FAMILY SUPPORT DIVISION

AUTHORIZATION FOR RELEASE OF INFORMATION

FROM	LIHEAP Worker Name	Telephone Number	Date
	LIHEAP Agency Name	LIHEAP Agency Address _____ _____ _____	
TO	Name		
	Address _____ _____ _____		
RE	Applicant Name	Applicant DCN	
I authorize the release of information regarding my situation described below to representatives of the Missouri Family Support Division. (Circle the applicable situation and explain, if necessary)			
Weatherization _____			
Lifeline _____			
Safelink _____			
Other (Explain) _____ _____ _____ _____ _____			
I (we) hereby release any person, representative of the Missouri Family Support Division, or representative of the LIHEAP contract agency from any liability for information furnished pursuant to this authorization.			
Applicant Signature		Date	
Signature of Other (If applicable)		Date	

Steps for Obtaining an On-Line Social Security Benefit Statement Letter

1. To obtain an on-line Social Security Benefit letter the following items are required:

- Internet access
- Valid Email address
- Social Security number
- U.S. mailing address
- 18 years of age

2. Go to: www.ssa.gov/myaccount/

- About half-way down the page, click on the blue box that says "Create an Account"

Create an Account

Sign In

Enter Activation Code

- On the next page, again click on the blue box that says "Create an Account"
- Check the box next to:

☐ **I agree to the Terms of Service**

- Then click the "Next" button
- Complete the next pages by entering personal data and answering questions
- When complete, a Terms of Service page will appear
- Check the box next to:

☐ **I agree to the Terms of Service**

- Click the "Next button"
- The, "My Account" home page will appear. About half way down the page is a blue line of text that says: "Get a Benefit Verification Letter"
- Clicking anywhere on that line will open another web page with a letter, addressed to that person, which lists all income that the person currently receives from the Social Security Administration
- By clicking on the appropriate button at the top of the page, the letter can be either printed or saved

Form **1040**

Department of the Treasury—Internal Revenue Service

U.S. Individual Income Tax Return

2022

OMB No. 1545-0074

IRS Use Only—Do not write or staple in this space.

Filing Status

Check only one box.

☐ Single ☐ Married filing jointly ☐ Married filing separately (MFS) ☐ Head of household (HOH) ☐ Qualifying surviving spouse (QSS)

If you checked the MFS box, enter the name of your spouse. If you checked the HOH or QSS box, enter the child's name if the qualifying person is a child but not your dependent:

Your first name and middle initial	Last name	Your social security number
If joint return, spouse's first name and middle initial	Last name	Spouse's social security number

Home address (number and street). If you have a P.O. box, see instructions.

Apt. no.

City, town, or post office. If you have a foreign address, also complete spaces below.

State

ZIP code

Foreign country name

Foreign province/state/county

Foreign postal code

Presidential Election Campaign
Check here if you, or your spouse if filing jointly, want \$3 to go to this fund. Checking a box below will not change your tax or refund.

☐ You ☐ Spouse

Digital Assets

At any time during 2022, did you: (a) receive (as a reward, award, or payment for property or services); or (b) sell, exchange, gift, or otherwise dispose of a digital asset (or a financial interest in a digital asset)? (See instructions.) ☐ Yes ☐ No

Standard Deduction

Someone can claim: ☐ You as a dependent ☐ Your spouse as a dependent

☐ Spouse itemizes on a separate return or you were a dual-status alien

Age/Blindness

You: ☐ Were born before January 2, 1958 ☐ Are blind Spouse: ☐ Was born before January 2, 1958 ☐ Is blind

Dependents

(see instructions):

If more than four dependents, see instructions and check here ☐

(1) First name	Last name	(2) Social security number	(3) Relationship to you	(4) Check the box if qualifies for (see instructions):	Child tax credit	Credit for other dependents
					<input type="checkbox"/>	<input type="checkbox"/>
					<input type="checkbox"/>	<input type="checkbox"/>
					<input type="checkbox"/>	<input type="checkbox"/>
					<input type="checkbox"/>	<input type="checkbox"/>

Income

Attach Form(s) W-2 here. Also attach Forms W-2G and 1099-R if tax was withheld.

If you did not get a Form W-2, see instructions.

1a Total amount from Form(s) W-2, box 1 (see instructions)	1a	
b Household employee wages not reported on Form(s) W-2	1b	
c Tip income not reported on line 1a (see instructions)	1c	
d Medicaid waiver payments not reported on Form(s) W-2 (see instructions)	1d	
e Taxable dependent care benefits from Form 2441, line 26	1e	
f Employer-provided adoption benefits from Form 8839, line 29	1f	
g Wages from Form 8919, line 6	1g	
h Other earned income (see instructions)	1h	
i Nontaxable combat pay election (see instructions)	1i	
z Add lines 1a through 1h	1z	
2a Tax-exempt interest	2a	
3a Qualified dividends	3a	
4a IRA distributions	4a	
5a Pensions and annuities	5a	
6a Social security benefits	6a	
c If you elect to use the lump-sum election method, check here (see instructions)		<input type="checkbox"/>
7 Capital gain or (loss). Attach Schedule D if required. If not required, check here	7	
8 Other income from Schedule 1, line 10	8	
9 Add lines 1z, 2b, 3b, 4b, 5b, 6b, 7, and 8. This is your total income	9	
10 Adjustments to income from Schedule 1, line 26	10	
11 Subtract line 10 from line 9. This is your adjusted gross income	11	
12 Standard deduction or itemized deductions (from Schedule A)	12	
13 Qualified business income deduction from Form 8995 or Form 8995-A	13	
14 Add lines 12 and 13	14	
15 Subtract line 14 from line 11. If zero or less, enter -0-. This is your taxable income	15	

Attach Sch. B if required.

Standard Deduction for—

- Single or Married filing separately, \$12,950
- Married filing jointly or Qualifying surviving spouse, \$25,900
- Head of household, \$19,400
- If you checked any box under **Standard Deduction**, see instructions.

SCHEDULE 1
(Form 1040)

 Department of the Treasury
 Internal Revenue Service

Additional Income and Adjustments to Income

Attach to Form 1040, 1040-SR, or 1040-NR.

 Go to www.irs.gov/Form1040 for instructions and the latest information.

OMB No. 1545-0074

2022

 Attachment
 Sequence No. **01**

Name(s) shown on Form 1040, 1040-SR, or 1040-NR

Your social security number

Part I Additional Income

1	Taxable refunds, credits, or offsets of state and local income taxes	1	
2a	Alimony received	2a	
b	Date of original divorce or separation agreement (see instructions): _____		
3	Business income or (loss). Attach Schedule C	3	
4	Other gains or (losses). Attach Form 4797	4	
5	Rental real estate, royalties, partnerships, S corporations, trusts, etc. Attach Schedule E	5	
6	Farm income or (loss). Attach Schedule F	6	
7	Unemployment compensation	7	
8	Other income:		
a	Net operating loss	8a	()
b	Gambling	8b	
c	Cancellation of debt	8c	
d	Foreign earned income exclusion from Form 2555	8d	()
e	Income from Form 8853	8e	
f	Income from Form 8889	8f	
g	Alaska Permanent Fund dividends	8g	
h	Jury duty pay	8h	
i	Prizes and awards	8i	
j	Activity not engaged in for profit income	8j	
k	Stock options	8k	
l	Income from the rental of personal property if you engaged in the rental for profit but were not in the business of renting such property	8l	
m	Olympic and Paralympic medals and USOC prize money (see instructions)	8m	
n	Section 951(a) inclusion (see instructions)	8n	
o	Section 951A(a) inclusion (see instructions)	8o	
p	Section 461(l) excess business loss adjustment	8p	
q	Taxable distributions from an ABLE account (see instructions)	8q	
r	Scholarship and fellowship grants not reported on Form W-2	8r	
s	Nontaxable amount of Medicaid waiver payments included on Form 1040, line 1a or 1d	8s	()
t	Pension or annuity from a nonqualified deferred compensation plan or a nongovernmental section 457 plan	8t	
u	Wages earned while incarcerated	8u	
z	Other income. List type and amount: _____	8z	
9	Total other income. Add lines 8a through 8z	9	
10	Combine lines 1 through 7 and 9. Enter here and on Form 1040, 1040-SR, or 1040-NR, line 8	10	

OTHER FUND SOURCES REPORT

PY _____ , _____ QUARTER

The Other Fund Sources Report will be submitted to this office after each quarter of the program year. **This report is not cumulative; only document the other fund sources for the above-referenced quarter.** Report homes, total expenditures (administration, insurance, program operations, etc.) and landlord contributions that have been reported for the above-referenced quarter. The totals for both reports must match what has been reported in MoWAP for the DE-managed grant.

AGENCY NAME _____ GRANT NUMBER _____

Other Fund Sources		
Fund Source	Total \$	# Homes
* Other Federal Programs Please list _____ _____ _____ _____ _____		
Utility Companies Please list _____ _____ _____ _____ _____		
Private Sources (Agency, City, etc.) Please list _____ _____ _____ _____ _____		
Landlord Owner Contributions (if the landlord is exempt due to poverty level, please put exempt next to the client name and job number) Please list job #, _____ Client name _____ _____ _____ _____ _____ _____ _____ _____		
Grand Total		

*These funds are considered partnership funds, not leveraged as defined in the Subgrantee Selection Section, leveraging activities. Such as CSBG, CDBG, etc. Anything with a CFDA number should go in this section.

Minority / Women / Veteran Business Enterprise Reporting

Agency Name: _____ **Date:** _____ **Quarter:** _____

Grant Number _____

The MBE/WBE Report will be submitted to the department after each quarter of the program year. The report must be completed by all agencies. This report is not a cumulative report; only report the MBE/WBE/VBE for the above reference quarter.

BIDS

Names of **Woman-Owned Business Enterprises** solicited for bids during this quarter. _____

Names of **Minority-Owned Business Enterprises** solicited for bids during this quarter. _____

Names of **Veteran-Owned Business Enterprises** solicited for bids during this quarter. _____

PURCHASES (Commodities & Services)

Name/City of WBE Contractor or Vendor:	Dollar Value of Purchases During this Quarter:
_____	\$ _____
_____	\$ _____
_____	\$ _____

Name/City of MBE Contractor or Vendor:	Dollar Value of Purchases During this Quarter:
_____	\$ _____
_____	\$ _____
_____	\$ _____

Name/City of VBE Contractor or Vendor:	Dollar Value of Purchases During this Quarter:
_____	\$ _____
_____	\$ _____
_____	\$ _____

(Definitions on following page.)

(Instructions on back)

Minority/Woman Business Enterprise Reporting Instructions

Name: Insert the name of the organization submitting this report.

Date: Insert the date this form is completed.

Quarter: Insert the numeral 1, 2, 3 or 4 that corresponds to the program year quarter (Quarter 1: July 1- Sept. 30; Quarter 2: Oct. 1 - Dec. 31; Quarter 3: Jan. 1 - March 31; Quarter 4: April 1 - June 30).

Names of WBEs Solicited for Bids: Provide names and phone numbers of any Woman Business Enterprises contacted for bids.

Names of MBEs Solicited for Bids: Provide names and phone numbers of all Minority Business Enterprises contacted for bids.

Names of WBEs Contractor/Vendor: Provide names of Woman Business Enterprises awarded bids/contracts.

Names of MBEs Contractor/Vendor: Provide names of Minority Business Enterprises awarded bids/contracts.

Dollar Value of Purchases with WBEs During This Quarter: Provide the total amount of funds actually spent with Woman Business Enterprises.

Dollar Value of Purchases with MBEs During This Quarter: Provide the total amount of funds actually spent with Minority Business Enterprises.



Department of Energy

Washington, DC 20585

WEATHERIZATION PROGRAM NOTICE 11-03

EFFECTIVE DATE: December 15, 2010

SUBJECT: POLICY REGARDING THE USE OF DOE PROGRAM FUNDS TO PAY FOR CALL-BACK/ADD-ON WORK AFTER REPORTED TO DOE AS A COMPLETED UNIT

PURPOSE: To clarify if and when Grantees and subgrantees may charge the Department of Energy (DOE) Low-Income Weatherization Assistance Program (WAP) for callbacks once a dwelling unit has been final inspected and reported to DOE as a completed dwelling unit.

SCOPE: The provisions of this guidance apply to Grantees or other entities named in the Notification of Grant Award as the recipient of financial assistance under the Department of Energy Weatherization Assistance Program. This guidance applies to all sources of funds in use – American Recovery and Reinvestment Act of 2009 (Recovery Act) and regular appropriated DOE Weatherization funds in 2009, 2010 and beyond.

LEGAL AUTHORITY: Title IV, Energy Conservation and Production Act, as amended, authorizes the Department of Energy (DOE) to administer the Weatherization Assistance Program. All grant awards made under this Program shall comply with applicable law including regulations contained in 10 CFR Part 440, the Energy Policy Act of 2005, the Energy Independence and Security Act of 2007, and the American Recovery and Reinvestment Act of 2009 (Recovery Act).

BACKGROUND: Recent monitoring and auditing of the Program has uncovered numerous instances where DOE WAP funds are being used to perform additional weatherization work after the dwelling unit has been final inspected and reported to DOE as a completed unit. Whether you refer to this additional weatherization work as “call-backs,” “re-works,” “add-ons,” “missed opportunities,” or some other term of art, this type of work should not occur using DOE funds. Under a recent interpretation of WAP regulations by the DOE Office of General Counsel, paying for additional work on homes that have already been reported to DOE is not a permissible use of DOE WAP funds.

Weatherization Program Notice 11-3

2

GUIDANCE: As a rule, Grantees and subgrantees may not charge the WAP for additional work on homes that have already been reported to DOE as completed, weatherized units. Once a home is reported to DOE as complete, the required final inspection indicates that all applicable work performed was done so in a competent manner, including all work that may have been contracted out such as furnace work, etc. Performing activities such as routine maintenance, repairs, or warranty-type work is not permitted using DOE funds for work beyond those costs already invoiced. Grantees and subgrantees may use other funds that are not included as a part of their DOE WAP budget plans to pay for the costs associated with these activities.

The only method to address “call-backs” where DOE funds must be used to pay for the additional work is to have these previously completed units taken out of the DOE reporting system and subtract the associated costs from the DOE funds category.

The Project Officer must be notified in writing of the number of units, total costs, and reporting period (monthly and/or quarterly) for any units that are to be backed out of the PAGE system. The Project Officer will then reject the report so that the revised reporting adjustments can be made. Further, Grantees must coordinate with their financial office to ensure the appropriate accounting methods follow federal cash management procedures.

After making any necessary repairs, the subgrantee must re-inspect the unit and report the completion to the grantee who will then report the unit to DOE, including all final costs for the unit in the month the completed work takes place. In considering this option, it should be noted that this process is time-consuming and should be utilized only on a limited case-by-case basis. Any proposed exception to this guidance must be provided by the subgrantee to the Grantee and submitted to DOE for approval.

Subgrantees that primarily use contractors are likely not to have this issue. The contracts for HVAC or other work using DOE funds must ensure that adequate guarantees of workmanship, implied or otherwise, are part of the bid process. These costs are generally built into the contract including the equipment, workmanship, and the length of time covered by any implied warranty required in the bid specifications.

This program notice affects all units weatherized after January 10, 2011 with any-year’s appropriated funds as well as Recovery Act funds. This date should ensure that Grantees will have time to amend any procedures or plans currently in place with their subgrantees to implement this change.

Note: Under no circumstances can any of the activities described above be covered under the reweatherization provisions of 10 CFR 440.18(e) (2) (iii) of the program regulations.

Weatherization Program Notice 11-3

3

CONCLUSION: DOE intends to revisit this issue during the updating of the program regulations scheduled to begin early next year. At that time, DOE will request comments on how best to address any proposed changes to the regulations, including this matter. If there are additional questions or concerns about this guidance document, Grantees should contact their PMC Project Officer. DOE appreciates your cooperation and patience as we work together to achieve the Administration's goal of creating jobs and increasing the number of people who benefit from DOE-funded weatherization projects.



LeAnn M. Oliver Program Manager
Office of Weatherization and Intergovernmental Program
Energy Efficiency and Renewable Energy

Attachment 3-4												Vehicle and Equipment Inventory Report											
												Due December 1											
SUBGRANTEE:												DATE:											
VEHICLES CURRENTLY OWNED BY THE WEATHERIZATION PROGRAM																							
Type/Model	Model Year	Vehicle ID Number	Purchase Date	Original Cost	Fund Source (original fund source in which vehicle was purchased)	% of Federal funds to purchase	Condition*	Vehicle Used by what Program/What is the vehicle used for? (Ex. Regular DOE program - WX, or Head Start - transporting children)	Current Mileage	What Program Holds Title to the Vehicle?	Location where the vehicle is kept	Date of Disposal (if applicable)	Sale Price (if applicable)	Comments									
1																							
2																							
3																							
4																							
5																							
6																							
7																							
8																							
EQUIPMENT OVER \$5,000 CURRENTLY OWNED BY THE WEATHERIZATION PROGRAM																							
Type/Model	Model Year	Serial or Inventory Number	Purchase Date	Original Cost	Fund Source (original fund source in which equipment was purchased)	% of Federal funds to purchase	Condition*	Equipment Used by what Program/What is the equipment used for? (Ex. Regular DOE program - WX)	What Program Owns the Equipment?	Location where the equipment is kept	Date of Disposal (if applicable)	Sale Price (if applicable)	Comments										
1																							
2																							
3																							
4																							
5																							
6																							
7																							
8																							

*Condition:
New (Property which is in new condition or unused condition and can be used immediately without modifications or repairs.)
Usable (Property which shows some wear, but can be used without significant repair.)
Repairable (Property which is unusable in its current condition, but can be economically repaired.)
Salvage (Property which has value in excess of its basic material content, but repair or rehabilitation is impractical and/or uneconomical.)
Scrap (Property which has no value for its basic material content.)

SAMPLE CONTRACTOR INVOICE

Simpson Home Improvement

H. Simpson
 1602 Pennsylvania Ave.
 Washington, MO 63090
 (555) 555-5555

Invoice Date: 4/1/2015

Name:	C. Montgomery Burns	Job #: 039-017-M-00763
Address:	1000 Mammon Ln. Springfield MO, 65801	
Phone:	(555) 555-5556	

Work Start: 3/23/2015

Work End: 3/25/2015

Qty	Unit	Measure	Components	Labor	Material	Total Labor	Total Material	Measure Type	Total
2	each	CO Detector	CO Battery Operated: #KN-COB-B-LPM	\$5.00	\$20.00	\$10.00	\$40.00	H&S	\$50.00
12	each	13-watt CFL		\$2.00	\$1.00	\$24.00	\$12.00	Baseload	\$36.00
1	each	DWH Blanket		\$20.00	\$20.00	\$20.00	\$20.00	Baseload	\$40.00
6	LF	Pipe Wrap		\$5.00	\$1.25	\$30.00	\$7.50	Baseload	\$37.50
2	each	Interior Caulk		\$5.00	\$5.00	\$10.00	\$10.00	Infiltration	\$20.00
1	each	Exterior Caulk		\$7.50	\$7.50	\$7.50	\$7.50	Infiltration	\$15.00
1	each	Attic Fan Cover		\$15.00	\$15.00	\$15.00	\$15.00	Infiltration	\$30.00
1	each	ASHRAE 62.2 Fan	Panasonic WhisperGreen 80 CFM FV-08VK3	\$140.00	\$360.00	\$140.00	\$360.00	H&S	\$500.00
1	each	DV Furnace 45000	Goodman, GMVC96, 0603BXX	\$1,000.00	\$1,500.00	\$1,000.00	\$1,500.00	HVAC	\$2,500.00
1050	SF	Attic Insulation	R-38 Cellulose Insulation	\$0.67	\$0.55	\$703.50	\$577.50	Insulation	\$1,281.00
17	SF	2" 2 part foam bands / ductwork		\$2.25	\$2.50	\$38.25	\$42.50	Insulation	\$80.75
						\$1,998.25	\$2,592.00	Total	\$4,590.25

CHECKLIST FOR CONTRACTOR FILES

- ☐ Completed contract that has been signed by the contractor and countersigned by the agency.
- ☐ Documentation that the contractor has met one of the three following criteria:
 1. The respondent has successfully completed a contract with the agency in the past (place a note in the file);
 2. The respondent has submitted names of other purchasers with whom they have provided service and performed satisfactorily (place the list of references and the notes from whoever checked the references in the file); **OR**
 3. The respondent has posted a performance bond (Place a copy of the bond in the file. The actual bond should be locked in the finance office.)
- ☐ Proof of Insurance as listed below:
 1. Comprehensive General Liability Insurance at a minimum of \$300,000 Combined Single Limit for Bodily Injury and Property Damage, per occurrence and aggregate.
 2. Vehicle Insurance at a minimum of \$300,000 bodily injury per person / \$500,000 bodily injury per accident / \$300,000 property damage per accident for a Split Liability Limit (SLL) policy **or** \$800,000 for a Combined Single Limit (CSL) policy.
 3. Workers' Compensation Insurance Coverage as required by law.
- ☐ Current business license and/or occupational license(s) as required by local statutes.
- ☐ Verification that the contractor is registered with and maintains good standing with the Secretary of State of the State of Missouri. See website:
<https://bsd.sos.mo.gov/BusinessEntity/BESearch.aspx?SearchType=0>
- ☐ Evidence that the contractor is not on the state or federal debarment lists. See websites:
<http://oa.mo.gov/facilities/project-management/debarred-contractors>;
<https://www.sam.gov/portal/SAM/#1>
- ☐ Evidence of OSHA-10 Certification for all of the contractor's employees.
- ☐ Proof of EPA Certified Firm Certification and Certified Renovator and Lead Safe Work (LSW) training documentation, if any LSW is to be performed (Wx contractors only; not HVAC or electrical contractors).

This file should be reviewed annually to update insurance information, re-check the debarment and Secretary of State's registration lists, and verify that all other information is up-to-date.

Itemized Budget Worksheet Instructions

Include all information required below with submission of the itemized budget through MoWAP. Upload narrative explanations as needed. Supporting budget, expenditure and production records should be available on-site upon request.

Required budget detail:

A. Administration:

- 1) Indirect - Include indirect cost in dollars (rate x amount) on the budget worksheet.
Upload a copy of the agency's rate negotiation information.
- 2) Cost Allocation Plan – Upload a copy of the agency's Cost Allocation Plan
- 3) The Administration category may not exceed 5 percent of the total amount of monies allocated to each subgrantee unless the total allocation is less than \$350,000. If the allocation to the agency is less than \$350,000, the agency may request an additional 5 percent for administration. If the agency believes that they will need more than 5 percent of the total allocation for administration, please upload a detailed justification with the budget submittal. Please see Section 4, B.1 of the Weatherization Operations Manual for more information regarding justification submittal for requests in excess of 5 percent for Administration.
- 4) Personnel - List each administrative position (title, not name) that the agency plans to fund all or in part from the grant award. **Include a brief description of the position's function or examples of work; the percentage of the position that is allocated to work in this program (FTE); and associated budgeted costs.**
- 5) Itemized non-personnel expenses and equipment - List budgeted amounts with brief descriptions of planned expenditures. Only items costing more than \$5,000 per item will require written approval from the department in advance of purchase during the year.

B. Liability Insurance: Proof of current liability insurance and Pollution Occurrence Insurance (POI), is required to be submitted with the budget. Documents providing proof of insurance should include the amount of coverage and effective dates. **It is recommended to budget liability insurance on the liability insurance line item and Pollution Occurrence Insurance on the POI line item.**

C. Financial Audit: If the agency plans to budget money from the grant for financial audit expenses, it is recommended to enter that amount on the financial audit line item.

NOTE: Leveraging and Training and Technical Assistance (T&TA) expenses are not eligible under utility subgrants, (example, Ameren Missouri Electric and Gas, Laclede, and Liberty Utilities) thus leveraging and T&TA plans are not required.

D. **Leveraging:** Agencies are encouraged to budget up to, but no more than, 5 percent of their grant allocation for leveraging activities. **A leveraging plan must be submitted with the budget if the agency includes any funds in the leveraging category.** Leveraging activities include paying for agency staff or hiring consultant staff to explore and develop partnerships with property owners, utility companies, and other entities that generate non-federal resources for the program. Other allowable activities include holding leveraging meetings; preparing technical materials/briefs; or facilitating voluntary match funds from a non-federal source. The leveraged resources should expand energy efficiency services and/or increase the number of DOE-eligible dwelling units weatherized. The work done with leveraged resources must be consistent with an approved energy audit and utilize cost-effective measures. Leveraging efforts will not always be successful, but subgrantees should aim to produce more than one dollar leveraged for each DOE dollar expended. **When developing the leveraging plan agencies should address the following when planning and budgeting their leveraging activities:**

- Identify specific planned leveraging activities
- Identify targeted partners (e.g., property owners, utility companies, other entities)
- Estimate outcomes including dollar amounts.

E. **Training and Technical Assistance (T&TA):** **A T&TA plan must be submitted with the budget.** T&TA activities are intended to maintain or increase the efficiency, quality, and effectiveness of the Weatherization Assistance Program at all levels. Dollar amounts must be associated to each training activity outlined in the plan. Such activities should be designed to maximize energy savings, minimize production costs, improve program management and crew/contractor “quality of work”, and reduce the potential for waste, fraud, and mismanagement. **When developing the T&TA plan, agencies are encouraged to address the following when planning and budgeting for their T&TA activities:**

- Identify agency-specific priorities for training and technical assistance (e.g., major turnover of energy auditors will require investment in basic weatherization training, blower doors, heating systems, and the National Energy Audit Tool (NEAT) and the Mobile Home Energy Audit (MHEA).
- Respond to training needs identified by the department’s Technical and Procedural monitoring.
- Give priority to costs for attending state-sponsored training, or document that the agency already has the necessary skills in the areas offered.

A. **Program Operations:** This portion of the budget is broken out into three categories: support (personnel and other expenses), labor, and materials directly related to weatherizing homes.

Personnel – List each position (title, not name) that the agency plans to fund all or in part from the grant award. **Include a brief description of the position’s function or examples of work, the percentage of the position that will be paid for from this grant, and the associated budgeted amount.**

Itemized non-personnel expenses and equipment. List budgeted amounts with brief descriptions of planned expenditures. Only items costing \$5,000 or more will require written approval from the department in advance of purchase during the year. **NOTE:** All vehicle purchases, even if purchase price is below \$5,000, require both department and DOE approval before the vehicle may be purchased.

B. **Production Service Goals:** The agency must estimate the total number of homes that it expects to serve.

AUDIT GUIDE

LOW INCOME WEATHERIZATION ASSISTANCE GRANTS

I. Purpose

This audit guide is to be used by the recipient's independent auditor during the agency's single audit. The purpose of this guide is to assist the auditor in reviewing the Low Income Weatherization Assistance grant issued by the Department of Natural Resources' Division of Energy. **A copy of this guide and 2 CFR 200.501 – 200.521 must be presented to the auditor during the planning phase of the audit.**

II. Authority

The Single Audit Act of 1996, P.L. 104 – 156 is the law giving the department the authority to require an audit of a recipient agency that meets single audit criteria established in 2 CFR 200.501-200.521. Generally speaking, any entity expending in excess of \$750,000 in federal funds is subject to a single audit, or a program specific audit, in accordance with the provisions found in 2 CFR 200.

2 CFR 200.501 – 200.521 specifies the requirements of the awarding agency, the recipient agency and the auditor.

III. Audit Standards

An audit report submitted to the department to fulfill the requirements of a grant awarded as part of the Low Income Weatherization Assistance Program must be conducted in accordance with generally accepted auditing standards (GAAS) as established by the American Institute of Certified Public Accountants (AICPA) and generally accepted government auditing standards (GAGAS) as established by the Governmental Accounting Office (GAO) in the current edition GAO Yellow Book. These standards and requirements of 2 CFR 200 shall be used in conducting the audit.

A complete audit report is due to the department within nine months after the end of the audit period (end of the agency's fiscal year) or thirty days from the date, the independent auditor submits the final report to the recipient.

For the purposes of this guide, a complete audit report includes the financial statements, accompanying schedules and opinions specified in 2 CFR 200, the schedule found in this Audit Guide and a copy of any management advisory letter submitted to agency management either with the report or under a separate letter. The Weatherization schedules presented in the audit report are not financial statements that the auditor is attesting to.

If the subgrantee amounts in the auditor prepared schedules are not in agreement with the department's amounts, or if a written explanation explaining why the subgrantee amounts are not in agreement with the department's amounts, then the complete audit report will be rejected and returned to the agency's board of directors for corrective action.

IV. Required Audit Procedures

General audit procedures that are required by the department may be found in 2 CFR 200.501 – 200.521

The schedule found in this guide (Schedule A) is to be included in the audit report for each grant administered by the department even if the Weatherization Program is not audited as a major program. The schedule is to cover the period of the department grant period.

Once the fieldwork has been completed and the required schedules have been prepared, the auditor must compare the subgrantee amounts documented on the Weatherization Program schedule (Schedule A) against the department's amounts. The department's amounts should be traced back to the last MoWAP grant reimbursement submitted by the agency to the department. **The department prefers that complete grant periods are reviewed.** However, for grants in which the grant period did not end during the agency's fiscal year, the auditor should trace back to last MoWAP grant reimbursement that was submitted during the agency's fiscal year being reviewed. The agency must ensure that for grants being reviewed with incomplete grant periods that the audit firm review the grant in the next agency audit so that a complete grant period is reviewed.

If the subgrantee and department amounts on the schedule do not agree, a reconciliation must be prepared and submitted with the audit report, or an explanation of the discrepancies must be attached to the schedule. Any audit adjustments to the agency's books must be identified. If audit adjustments were made to the agency's records that change any of the revenue or expense category amounts reported to the department, those audit adjustments must be identified and a revised schedule must be included in the audit report. **IT IS THE AUDITED AGENCY'S RESPONSIBILITY TO ENSURE THAT ANY DISCREPANCIES BETWEEN THE AGENCY'S GENERAL LEDGER ACCOUNTS AND THE REPORTS SUBMITTED TO THE DEPARTMENT BE RESOLVED PRIOR TO SUBMITTING THE AUDIT REPORT.**

If the schedules presented in the audit report and submitted to the department do not agree, the audit will be returned to the agency for corrections. The agency will have 30 days from the date

of the transmittal letter to correct the discrepancies and return a corrected audit to the department.

V. Audit Risk Areas

A. Grant Contract Terms

Grant contract terms are found in the scope of work section of the grant award document. The primary risk found in this review is the requirement for the weatherization program to be audited as a major program. 2 CFR 200.501-200.521 requires written notification if the awarding agency requires a program to be audited as a major program during the agency single audit. The department uses the scope of work section of the grant award to fulfill this requirement. The complete grant award should be reviewed during the planning stage of the audit.

B. General Cost Limitations

General cost limitations may be found in Section 4 of the Weatherization Operations Manual. Compliance is mandatory.

C. Administrative Cost Limits

Administrative cost limitations are defined in Section 4 of the Weatherization Operations Manual. To test administrative expenditures, multiply the total reported expenditures by the administrative rate percentage. If the amount of administrative expense reported to the department is greater than the maximum allowable rate of administrative expenditures then the amount budgeted for administration in the next grant year will be reduced by the amount overspent, or, the department may require that the agency reimburse the grant with non-discretionary agency funds in the amount that was overspent.

D. Average Cost Per Unit

Average cost per unit limitations are included in the Weatherization State Plan and change each grant year. The average cost per unit is actually the average program operations cost per home. The easiest way to find this average is to review any monthly MoWAP reimbursement. To determine the average cost per unit divide the cumulative total of Program Operation expenditures by the cumulative number of homes completed. Individual weatherization program client files reviewed during the agency single audit may show claimed costs in excess of the maximum allowable average cost per unit. This is acceptable. If, at the end of the grant period, the average cost per unit for the year exceeds the maximum allowable average cost, the agency may be required to reimburse the amount overspent in program operations. This is calculated by determining the amount per home exceeding the maximum allowable average amount and multiplying this by the number of homes completed during the grant year.

E. Client Dwelling and Income Eligibility Requirements

Client dwelling and income eligibility requirements are found in Section 2 of the Weatherization Operations Manual. The primary risk is that the client may not be income eligible or the dwelling may have been previously serviced since September 30, 1994. Clients receiving Temporary Assistance for Needy Families (TANF) or Supplemental Security Income (SSI) payments are not required to meet income eligibility requirements. This section should be reviewed if weatherization files are to be tested during the audit.

F. Reporting Requirements

Reporting requirements for periodic program reporting are contained in Section 3 of the Weatherization Operations Manual. Included in this section is a list of the documentation required to be included in a weatherization client file. The primary risk is that the Quality Control Inspection of work performed on the dwelling was not documented. This section should be reviewed if weatherization reports are to be tested during the audit.

G. Procurement Requirements

Procurement requirements are found in Section 5 of the Weatherization Operations Manual. Included in this section are contracting dollar thresholds, inventory reporting requirements and small purchase procedures. The primary risks in the procurement area include failure to report equipment purchases in excess of \$5,000 and undocumented procurement. This section should be reviewed if the program's contracts are reviewed during the single audit.

SAMPLE
Subgrantee Name

Schedule A

Subgrant Number

RECONCILIATION OF REVENUES AND EXPENSES

FOR THE PERIOD OF July 1, 20 ____ to June 30, 20 ____

(NOTE: Use the appropriate dates for beginning and ending grant periods if the grant did not begin July 1 or if the grant did not end June 30.)

Provide the following information for the WAP Program Year (July 1 to June 30 or applicable grant start and end dates. For multi-year grants the end date should be the agency fiscal year end date if the grant period had not ended during the agency audit period.)

DIVISION OF ENERGY

SUBGRANTEE

Beginning Fund Balance (funds that have been advanced but not expensed from the previous grant) _____

Beginning Fund Balance _____

Revenue

Revenue

Grant Income (funds that have been reimbursed to the agency from DED-DE) _____

Grant Income _____

Program Income _____

Program Income _____

Total Revenue _____

Total Revenue _____

Expenditures

Expenditures

Administration _____

Administration _____

Insurance _____

Insurance _____

Financial Audit _____

Financial Audit _____

Leveraging _____

Leveraging _____

T&TA _____

T&TA _____

Program Operations _____

Program Operations _____

Total Expenditures _____

Total Expenditures _____

Ending Fund Balance (this is the sum of the Beginning Fund Balance + Grant Income + Program Income – minus total Expenditures) _____

Ending Fund Balance _____

Ending Cash on Hand _____

Ending Inventory _____

Note: The Division of Energy and Subgrantee figures must be in agreement or a written explanation explaining the discrepancies must be attached to the Schedule. If not, the difference must be corrected before the schedule can be accepted.

**BUSINESS ENTITY CERTIFICATION, ENROLLMENT DOCUMENTATION,
AND AFFIDAVIT OF WORK AUTHORIZATION**

BUSINESS ENTITY CERTIFICATION:

The contractor must certify their current business status by completing either Box A or Box B or Box C on this Exhibit.

- BOX A:** To be completed by a non-business entity as defined below.
- BOX B:** To be completed by a business entity who has not yet completed and submitted documentation pertaining to the federal work authorization program as described at http://www.dhs.gov/files/programs/gc_1185221678150.shtm.
- BOX C:** To be completed by a business entity who has current work authorization documentation on file with a Missouri state agency including Division of Purchasing and Materials Management.

Business entity, as defined in section 285.525, RSMo, pertaining to section 285.530, RSMo, is any person or group of persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood. The term “**business entity**” shall include but not be limited to self-employed individuals, partnerships, corporations, contractors, and subcontractors. The term “**business entity**” shall include any business entity that possesses a business permit, license, or tax certificate issued by the state, any business entity that is exempt by law from obtaining such a business permit, and any business entity that is operating unlawfully without such a business permit. The term “**business entity**” shall not include a self-employed individual with no employees or entities utilizing the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.

Note: Regarding governmental entities, business entity includes Missouri schools, Missouri universities (other than stated in Box C), out of state agencies, out of state schools, out of state universities, and political subdivisions. A business entity does not include Missouri state agencies and federal government entities.

BOX A – CURRENTLY NOT A BUSINESS ENTITY

I certify that _____ (Company/Individual Name) **DOES NOT CURRENTLY MEET** the definition of a business entity, as defined in section 285.525, RSMo pertaining to section 285.530, RSMo as stated above, because: (check the applicable business status that applies below)

- ☐ I am a self-employed individual with no employees; **OR**
- ☐ The company that I represent employs the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.

I certify that I am not an alien unlawfully present in the United States and if _____ (Company/Individual Name) is awarded a contract for the services requested herein under _____ (Bid/SFS/Contract Number) and if the business status changes during the life of the contract to become a business entity as defined in section 285.525, RSMo, pertaining to section 285.530, RSMo, then, prior to the performance of any services as a business entity, _____ (Company/Individual Name) agrees to complete Box B, comply with the requirements stated in Box B and provide the _____ (insert agency name) with all documentation required in Box B of this exhibit.

Authorized Representative's Name (Please
Print)

Authorized Representative's Signature

Company Name (if applicable)

Date

(Complete the following if you DO NOT have the E-Verify documentation and a current Affidavit of Work Authorization already on file with the State of Missouri. If completing Box B, do not complete Box C.)

BOX B – CURRENT BUSINESS ENTITY STATUS

I certify that _____ (Business Entity Name) **MEETS** the definition of a business entity as defined in section 285.525, RSMo, pertaining to section 285.530.

Authorized Business Entity
Representative's Name (Please Print)

Authorized Business Entity
Representative's Signature

Business Entity Name

Date

Email Address

As a business entity, the contractor must perform/provide each of the following. The contractor should check each to verify completion/submission of all of the following:

- ☐ Enroll and participate in the E-Verify federal work authorization program (Website: http://www.dhs.gov/files/programs/gc_1185221678150.shtm; Phone: 888-464-4218; Email: e-verify@dhs.gov) with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required herein; AND
- ☐ Provide documentation affirming said company's/individual's enrollment and participation in the E-Verify federal work authorization program. Documentation shall include EITHER the E-Verify Employment Eligibility Verification page listing the contractor's name and company ID OR a page from the E-Verify Memorandum of Understanding (MOU) listing the contractor's name and the MOU signature page completed and signed, at minimum, by the contractor and the Department of Homeland Security – Verification Division. If the signature page of the MOU lists the contractor's name and company ID, then no additional pages of the MOU must be submitted; AND
- ☐ Submit a completed, notarized Affidavit of Work Authorization provided on the next page of this Exhibit.

(Complete the following if you have the E-Verify documentation and a current Affidavit of Work Authorization already on file with the State of Missouri. If completing Box C, do not complete Box B.)

BOX C – AFFIDAVIT ON FILE - CURRENT BUSINESS ENTITY STATUS

I certify that _____ (Business Entity Name) **MEETS** the definition of a business entity as defined in section 285.525, RSMo, pertaining to section 285.530, RSMo, and have enrolled and currently participates in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services related to contract(s) with the State of Missouri. We have previously provided documentation to a Missouri state agency or public university that affirms enrollment and participation in the E-Verify federal work authorization program. The documentation that was previously provided included the following.

- ✓ The E-Verify Employment Eligibility Verification page OR a page from the E-Verify Memorandum of Understanding (MOU) listing the contractor's name and the MOU signature page completed and signed by the bidder/contractor and the Department of Homeland Security – Verification Division
- ✓ A current, notarized Affidavit of Work Authorization (must be completed, signed, and notarized within the past twelve months).

Name of **Missouri State Agency** or **Public University*** to Which Previous E-Verify Documentation Submitted:

(*Public University includes the following five schools under chapter 34, RSMo: Harris-Stowe State University – St. Louis; Missouri Southern State University – Joplin; Missouri Western State University – St. Joseph; Northwest Missouri State University – Maryville; Southeast Missouri State University – Cape Girardeau.)

Date of Previous E-Verify Documentation Submission: _____

Previous **Contract Number** for Which Previous E-Verify Documentation Submitted: (if known)

Authorized Business Entity Representative's
Name (Please Print)

Authorized Business Entity
Representative's Signature

E-Verify MOU Company ID Number

Email Address

Business Entity Name

Date

FOR STATE USE ONLY

Documentation Verification Completed By:

Buyer

Date

TAXATION DIVISION
PO BOX 3666
JEFFERSON CITY, MO 65105-3666



Telephone: (573) 751-9268
Fax: (573) 522-9265
E-mail: taxclearance@dor.mo.gov

VENDOR NO TAX DUE

COMMUNITY ACTION AGENCY
PO BOX 1234
ANYWHERE, MO 61234

DATE ISSUED: OCTOBER 15, 2021

MISSOURI TAX ID NUMBER: 12345678
FEDERAL IDENTIFICATION NUMBER: 12-3456789

The Missouri Department of Revenue certifies that based on the information provided the above listed taxpayer/vendor and its disclosed affiliates do not sell taxable tangible personal property or provide taxable services in the State of Missouri. As a result, the above vendor and its disclosed affiliates are in compliance with Section 34,040.7, RSMo.

This statement does not limit the authority of the Director of Revenue to assess and/or collect liabilities under appeal or that become known to the department as a result of audit or determination of successor liability.

This certificate will remain valid until such time as the business activity changes. Please note that any change in or deviation from the operation of this business as originally described will render this letter inapplicable.

DIRECTOR OF REVENUE OR DELEGATE.
STATE OF MISSOURI

BY:

Esta Zaring
Administrator, Business Tax

CE:001234

CBN045
202112345678912

Specific Items to include in bid documentation		CRITERIA - IFB - RFQ Check List (Attachment 5-1)	BIDDER/ NAME	Notes
NA, Yes, No		Weatherization	XYZ	
I		<i>Small, Minority & Women-Owned Business Enterprise</i>		
	a.	Did the subgrantee make a good faith effort to include Minority- and Women- owned businesses in their IFB/RFQ distribution?		
	b.	Was bid advertised in 2 papers? Are there tear sheet copies or an affidavit of publication?		
II		<i>Procurement of Building Insulation W/Recovered Materials</i>		
	a.	Is the value of purchased insulation > \$10,000?		
	b.	If "Y." were efforts made to get recycled materials at reasonable costs? (10 CFR 440)		
III		<i>Procurement/Lease/Management/Vehicles/Equip/Non-Expendable Property</i>		
		Have all requirements outlined in III of Section 6 been reviewed for compliance?		
IV		<i>Management of Weatherization Materials & Contracted Services</i>		
	a.	If materials, insulation or other goods are purchased, is a clause included to reference specifications? (Compliance with 10 CRF 600 and 10 CFR 440)		
	b.	If the lowest/best bid is accepted, does the bid packet have a bid tabulation sheet for recording the bid results?		
		If the lowest bid is not accepted, approval is needed by DE.		
V		<i>Competitive Procurement Standards</i>		
	1 a.	Is the purchase less than \$3000? (Purchases of like items during a 12 month period with an aggregate value more than \$3000 must be competitively bid or have an RFQ.)		
	b.	Is Bid Tabulation Sheet included for documentation?		
	c.	If the bid is for heating systems contractors, was a RFQ used?		
	d.	Is this purchase > \$50,000 total of all systems purchased? Was the formal IFB advertised in 2 papers, and the sealed written bid process followed?		
	2	Does the content of the IFB include the following? Please see Section 5, V.D.2, pages 15-21 of the Weatherization Operations Manual for complete requirements.		
	a.	Firm Fixed Price		
	b.	Estimated quantities		
	c.	Quality standards		
	d.	Bid evaluation criteria included?		
	e.	Bid deadlines: submittal/closing/with sealed photocopy		
	f.	Bid opening date/time/location		
	g.	Total dollar amount of funds granted for current year		
	h.	Federal percentage of participation related to subgrant (language revealing federal funds amount/Percent of participation in the weatherization program related to the subgrantee)		
	i.	Performance bond requirements: In debarment status under federal or Missouri with signed statement to that effect? Or Form B (past client list)? Must provide one or the other.		
	j.	Is Lien Waiver language included?		
	k.	EEOC clause included? Is the SWS clause included?		
	l.	Copeland Anti-Kickback clause included?		
	m.	Is the clause containing the following conflict of interest language included: "Contractor doesn't and will not have conflict of interest with the agency/State of MO nor employ anyone who does."		
	n.	OSHA Training current?		
	o.	Insurance present--Gen Liability, Vehicle, OSHA/Workers' Comp., Pollution Occurrence?		
	p.	Current Business License? Is the business/contractor registered with the Missouri Secretary of State Office?		
	q.	Sole Source?		



Department of Energy
Washington, DC 20585

WEATHERIZATION PROGRAM NOTICE 17-6
EFFECTIVE DATE: July 27, 2017

SUBJECT: Property Acquired Under the Weatherization Assistance Program (WAP) Including Vehicle and Equipment Purchases

PURPOSE: This guidance serves to provide Grantees with guidance on property acquisitions, including purchasing vehicles and equipment, for use in the WAP. This Weatherization Program Notice (WPN) supersedes WPN 13-4, Property Acquired under the Weatherization Assistance Program and WPN 13-7, Vehicle and Equipment Purchases.

SCOPE: The provisions of this guidance apply to recipients and subrecipients of financial assistance under the Department of Energy (DOE) WAP.

LEGAL AUTHORITY: Title IV, Energy Conservation and Production Act, as amended, authorizes the Department of Energy to administer the WAP. (42 U.S.C. § 6861, *et. seq.*) All grant awards made under this program shall comply with applicable law and regulations including the WAP regulations contained in [10 CFR 440](#) and DOE Financial Assistance regulations at [2 CFR 200](#).

PROCEDURES: Grantees shall comply with applicable law including regulations contained in [2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#) and other guidance applicable to these regulations as DOE may, from time-to-time, prescribe for the administration of financial assistance.

Per [2 CFR 200.33](#), Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000.

This information applies to the WAP only, and is not applicable to other programs unless you receive specific direction from other programs. Please note that per [2 CFR 200.313](#), “states must use, manage and dispose of equipment acquired under a Federal award by the state in accordance with state laws and procedures.”

Local Governments, Tribal Organizations, Nonprofit Organizations and Subgrantees shall follow their appropriate property regulations found in [2 CFR 200.310-316](#) - Property Standards. Any potential discrepancies between guidance contained in this document and [2 CFR 200](#) shall be resolved in favor of [2 CFR 200](#).

Amortization: As stated in [10 CFR 440.18\(c\)\(3\)](#), for the purposes of determining the average cost per dwelling limitation, costs for the purchase of vehicles or other certain types of equipment, as defined above, may be amortized over the useful life of the vehicle or equipment. Amortizing these costs over the useful life of the vehicle or equipment provides the Grantee with a reasonable approach in determining the average cost per home, even though the full purchase price is reported in the year in which it occurs. For example, if a Subgrantee purchases a new vehicle for \$24,000 with an expected useful life for the vehicle of 8 years (96 months), the cost of that vehicle could be amortized at the rate of \$3,000 per year or at \$250 per month.

Prior approval requirements:

[10 CFR 440.18\(d\)\(6\)](#) requires that any purchase of vehicles must be referred to DOE for prior approval in every instance. In addition, per [2 CFR 200.439\(2\)](#) “Capital expenditures for special purpose equipment are allowable as direct costs, provided that items with a unit cost of \$5,000 or more have the prior written approval of the Federal awarding agency or pass-through entity.”

Steps to obtaining prior approval:

- 1) Grantees shall identify any need for vehicles and equipment (including Subgrantee needs) and provide the minimum information required below, if known at time of application. Upon approval of the award by the DOE Contracting Officer, the prior approval requirement is satisfied without the need for subsequent approvals.
- 2) Grantees that identified a need for vehicles and/or equipment in their annual application (including Subgrantee needs) but were unable to provide the minimum information required below at that time, shall ensure the minimum information required, as identified below, is provided to the DOE Project Officer and DOE Administrator identified in the Assistance Agreement in a timely manner and as agreed upon with DOE.
- 3) Grantees that determine a need for vehicles and/or equipment after the award is approved by the DOE Contracting Officer (including Subgrantee needs), shall submit an individual request to the DOE Project Officer with a copy to the DOE Administrator identified in the Assistance Agreement and provide the minimum information required, as identified below, in a timely manner and as agreed upon with DOE.

Grantees shall review all Subgrantee requests to ensure all requirements are met before making a recommendation to DOE for approval. Upon receipt of the minimum required information for step 2 or 3 above, DOE anticipates approval or review and follow-up if additional information is deemed necessary within ten business days.

Minimum information required:

The following need to be submitted to DOE:

- A copy of the purchase request identifying the Grantee/Subgrantee.
- Where the vehicle(s) and/or equipment will be used and how it will be used – specify full or part time use in the Weatherization Assistance Program.
- Identification of funding source(s) that will be used for purchase (e.g., DOE Weatherization - Program Operations funds) and a statement of whether the vehicle(s) is a replacement or ramping-up for program expansion. If this is a replacement, address the trade-in in your explanation, please indicate the amount of any non-DOE WAP cost sharing, especially if part-time usage is proposed.
 - Note that Grantee purchases of vehicles or equipment which are directly related to specific training and technical assistance activities, such as monitoring, etc. may be charged to technical and training assistance (T&TA). However, T&TA funds shall not be used to purchase vehicles or equipment for Subgrantees to perform Weatherization services. The cost of these vehicles or equipment to support the Program must be charged to the vehicle/equipment or program operations categories. Provide a brief description of how the procurement was done, and confirmation that Agency, Grantee, and Federal procurement guidelines in [2 CFR Part 200](#) – Financial Assistance Rules were met.
- Copies of the bid specification (vehicle/equipment description with required features) and a bid analysis indicating at a minimum, each bidder, their bid price, and a determination whether each proposal met the bid specification.
- Statement that the lowest responsive bid was selected, or provide a sufficient justification of the “best value selection” if lowest bid is not recommended for DOE approval.

As indicated in [2 CFR 200.317-326](#) - Procurement Standards, Grantee and Subgrantee procedures must provide for a review of proposed procurements to avoid purchase of unnecessary or duplicative items. Consideration should be given to consolidating or breaking out procurements to obtain a more economical purchase. Where appropriate, an analysis must be made of lease versus purchase alternatives, and any other appropriate analysis to determine the most economical approach.

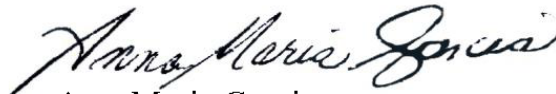
DOE would not need to approve a vehicle lease that does not include a "purchase option." However, if a lease-purchase option is proposed and even if the purchase price is as small as one dollar, DOE would need to approve the purchase of the vehicle. Grantees and Subgrantees may not pre-pay leases that exceed the end of the award project period.

CONCLUSION:

For regulations and guidance regarding equipment, please review [2 CFR 200.313](#) and refer to active Weatherization Program Guidance on EERE's website:

<https://energy.gov/eere/wipo/weatherization-program-guidance>

For your convenience, Attachment 1 – Frequently Asked Questions further outlines DOE's position on equipment including disposition and shared use. If you have further questions regarding property acquisition, use, or disposition, please do not hesitate to contact the DOE Project Officer or DOE Grants Management Specialist identified in the Assistance Agreement for your award.



AnnaMaria Garcia

Director

Office of Weatherization and Intergovernmental Program
Energy Efficiency and Renewable Energy

Attachment 1 – Frequently Asked Questions

Weatherization Program Notice 17-6
Frequently Asked Questions

Attachment 1 – Frequently Asked Questions

1. DOE has no interest in equipment acquired with award funds with a current per-unit fair market value less than \$5,000.

Fair market value means the best estimate of the gross proceeds if the property were to be sold in a public sale. As soon as the fair market value of an individual unit of property falls below \$5,000, DOE's interest in the property is extinguished. At this point, recipients/subrecipients take full title to the property without restriction, free and clear of government interest, and a disposition request to DOE is not necessary. Disposition requirements no longer apply and the recipient/subrecipient have no further obligation to DOE.

A piece of equipment is considered to be an individual unit if it has individual utility or can be sold as an individual unit. For example, a photovoltaic solar system contains other components including solar panels, racking systems, inverters and associated wiring. For purposes of disposition, the system should be treated as individual units, such as the individual solar panels and individual inverters, not as a whole. If the system was purchased as individual units and can be sold as such, it should be disposed of as individual units. As a guide to making this determination, consider the manner in which the equipment was purchased and break larger systems into their smallest individual components.

2. For equipment acquired with award funds with a current per-unit fair market value of \$5,000 or more, the recipient/subrecipient may continue to use property in the project or program for which it was acquired, and a disposition request to DOE is not necessary.

Recipients/subrecipients may continue to use this equipment indefinitely so long as the recipient/subrecipient continues to use the property in the project or program for which it was acquired. In this case, a disposition request to DOE or Contracting Officer approval is not necessary. Recipients/subrecipients must continue to account for award property during the award and after the closeout of the award, as long as the property continues to have a fair market value of \$5,000 or more, in accordance with OMB's financial assistance regulations found at [2 CFR 200.313](#).

As soon as the fair market value of an individual unit of property falls below \$5,000, DOE's interest in the property is extinguished. At this point, recipients/subrecipients take full title to the property without restriction, free and clear of Government interest, and a disposition request to DOE is not necessary.

2a. If the recipient/subrecipient continues to use the property in the project or program for which it was acquired, the recipient/subrecipient must continue to account for award property during the award and after the closeout of the award, as long as the property continues to have a fair market value of \$5,000 or more, in accordance with OMB's regulations found at [2 CFR 200.313](#).

Weatherization Program Notice 17-6 Frequently Asked Questions

Per [2 CFR 200.313\(b\)](#), States must use, manage and dispose of equipment acquired under a Federal award by the state in accordance with state laws and procedures. If other recipients/subrecipients continue to use property for the project or program for which it was acquired, property records must be maintained to include a description of the property, a serial number or other identification number, the source of property, who holds title, the acquisition date, the cost of the property, percentage of Federal participation in the cost of the property, the location, use and condition of the property, and any ultimate disposition data including the date of disposal and sale price of the property ([2 CFR 200.313\(d\)\(1\)](#)). Additionally, recipients/subrecipients must take a physical inventory and reconcile the results with the property records at least once every two years. Any differences between quantities determined by the physical inspection and those shown in the accounting records must be investigated by the recipient/subrecipient to determine the causes of the difference. The recipient/subrecipient must, in connection with the inventory, verify the existence, current utilization, and continued need for the property. These property inventory requirements do not differ from the requirements in the applicable regulations for the award period. DOE retains the right to periodically ask for, and the recipient/subrecipient agrees to provide upon request, reasonable information concerning the use or final disposition of the property.

2b. All property purchased as equipment and later incorporated into real property should be treated as equipment prior to disposition and then again when removed.

Equipment purchased with award funds may be installed or otherwise incorporated into real property. Under a traditional interpretation of generally accepted accounting principles and property law, once property (equipment) is installed, incorporated or permanently attached to real property (land, structures, buildings), the asset loses its identity as property (equipment). As such, it is no longer reportable as an equipment item and records should be closed out as “consumed by real property asset X” or in accordance with your organization’s property management procedures. Examples of this type of property include the mechanical portions of HVAC systems, and renewable energy generation equipment such as photovoltaic systems or wind turbines. Should the equipment be de-installed or detached from the real property asset for any reason (repair, transfer, relocation, or disposition), recipients/subrecipients shall again manage the removed equipment as personal property in accordance with its fair market value, until such time as it is re-installed or reincorporated into real property, or formally dispositioned.

3. If recipient/subrecipient has a residual inventory of unused supplies exceeding \$5,000 in total aggregate fair market value and the supplies are not needed for any other federally-sponsored project or program, the recipient/subrecipient shall retain the supplies for use on non-Federally sponsored activities or sell them, but shall, in either case, compensate the Federal Government for its share.

The amount of compensation shall be computed in the same manner as for equipment. Fair market value means the best estimate of the gross sales proceeds if the property were to be sold in a public sale. The value of unused supplies shall be calculated on an individual recipient/subrecipient basis, not based on the entire award.

Weatherization Program Notice 17-6
Frequently Asked Questions

4. DOE has no interest in residual inventory of unused supplies acquired with award funds which are \$5,000 or less in total aggregate fair market value. See [2 CFR 200.314](#) for additional information.

If the recipient/subrecipient has acquired supplies that have not been consumed by the end of the project, and the total aggregate fair market value of the supplies is \$5000 or less, DOE has no interest in the supplies and title vests with any restriction in the recipient/subrecipient. The value of unused supplies shall be calculated on an individual recipient/subrecipient basis, not based on the entire award.

5. When the non-state recipient/subrecipient elects to retain title without further obligation to the Federal Government, recipient/subrecipient must submit a disposition request to DOE and compensate the Federal Government for that percentage of the current fair market value of the real property or equipment that is attributable to the Federal participation in the project.

When electing to retain title, non-state recipients/subrecipients must compensate DOE for its portion of the fair market value of the equipment. Fair market value means the best estimate of the gross sales proceeds if the property were to be sold in a public sale. The recipient/subrecipient shall submit a disposition request to DOE, providing credible evidence of fair market value, as outlined in Item 7 below. The Contracting Officer may also accept credible evidence in the form of bids from interested buyers, sales of comparable property, or estimated scrap value from a credible contractor with experience in the particular materials if the property has no value beyond scrap.

6. States must use, manage and dispose of equipment acquired under a Federal award by the state in accordance with state laws and procedures ([2 CFR 200.313\(b\)](#)). If the non-state recipient/subrecipient has no further use for the equipment, recipient/subrecipient may elect to use the equipment on another federally sponsored project without requesting disposition instructions.

IMPORTANT:

Title to equipment acquired with Federal funds with a fair market value of \$5,000 or more must be retained by the recipient/subrecipient when using equipment on another federally sponsored project.

All types of entities may transfer the property to another project sponsored by DOE or project sponsored by another Federal agency. The recipient/subrecipient must continue to account for equipment used on another federally sponsored project (see 2.a. above). Order for preference of use must be satisfied.

7. States must use, manage and dispose of equipment acquired under a Federal award by the state in accordance with state laws and procedures [2 CFR 200.313\(b\)](#). If the non-state recipient/subrecipient no longer needs the property in the project or program for which it

Weatherization Program Notice 17-6
Frequently Asked Questions

was acquired or for other federally sponsored activities, recipient/subrecipient must request disposition instructions from DOE.

If non-state recipient/subrecipient has no use for the property, chooses not to retain title and will not be compensating DOE for DOE's share of the property, or cannot identify another federally sponsored project where the property may be utilized, the recipient/subrecipient must request disposition instructions.

The forms below shall be used when requesting disposition during the award, at closeout, or after the award has expired when property is no longer needed. An inventory of property is required when requesting disposition (see SF-428-S below) or if specifically requested (DOE reserves the right to request property records at any time). DOE does not expect Grantees to use the SF-428-B form when requesting disposition, but the SF 428-S.

When requesting disposition, complete the Tangible Personal Property Report, Form SF-428 found at: <https://energy.gov/eere/funding/downloads/tangible-personal-property-report>.

Check "Disposition Report/Request (SF-428-C) in Block 6.

Also complete the Disposition Request/Report, Form SF-428-C, found at:
<https://energy.gov/eere/funding/downloads/tangible-personal-property-report>.

Check "Request Federal Agency Disposition Instructions" in Block b.(ii), and also check "Sale of acquired equipment" in Block 2.b. and attach the completed Supplemental Sheet, Form SF-428-S found at: <https://energy.gov/eere/funding/downloads/tangible-personal-property-report> or recipient equivalent, and complete the remaining information required in Block 2 to calculate the amount to be remitted to the Federal Government.

Instructions for Completing the Tangible Personal Property Report Forms

The DOE Tangible Personal Property Report Forms (SF-428, SF-428-C, and SF-428-S), the Property Closeout Certification Spreadsheet, and all required documentation, (see below for list) must be completed and submitted electronically to the department when a subgrantee wants to dispose (sell) of any items purchased with DOE grant funds that, when purchased, cost \$5,000 or more (per individual item) and the current fair-market value of an item is \$5,000 or more.

Please note that on the Tangible Personal Property Report forms that Missouri's Weatherization Federal Grant Number is DE-EE0007930 for the regular DOE grant. When completing SF-428, under item 6, check the, "Disposition Report/Request" field. When completing SF-428-C, under item 1.a., check the, "Request Federal Agency disposition instructions," under item 1.b., check the, "Request Federal Agency disposition instructions," and under item 2.b., check the, "Sale of acquired equipment" and then attach the completed SF-428-S form.

Also, separate Tangible Personal Property Report forms and a separate Property Closeout Certification spreadsheet should be completed if a subgrantee wants to dispose of items that were purchased under different grants (only applies to multiple DOE grants like there were during ARRA).

For all vehicles/equipment with fair-market values of \$5,000 or more that the subgrantee wants to transfer to another federally funded program, only the Property Closeout Certification spreadsheet and the documentation listed below will need to be submitted for review by the department:

The following documentation must be attached to each vehicle/equipment retention, transfer, and disposal request:

1. Item description - (included on spreadsheet)
2. Manufacturer – (included on spreadsheet)
3. Model – (included on spreadsheet)
4. Serial number or VIN – (included on spreadsheet)
5. Original acquisition date – (included on spreadsheet)
6. Original acquisition cost – (included on spreadsheet)
7. Fund (grant) from which the item was originally purchased (included on spreadsheet)
8. Mileage (included on spreadsheet)
9. Disposal condition code per the Federal Management Regulation 102-36.240 (see table on back) - (included on spreadsheet)
10. Disposition code (see table on back) – (included on spreadsheet)
11. **Back-up documentation for current fair market value (ex. attach print out of Kelley Blue Book value, (please print the VIN or serial number of the vehicle/equipment on the print out)**
12. **Photograph of the item, (please print the VIN number or serial number on the photograph)**

102-36.240 Disposal Condition Code	Definition
1	New. Property in new condition or unused condition and can be used immediately without modifications or repairs.
4	Usable. Property that shows some wear, but can be used without significant repair.
7	Repairable. Property unusable in its current condition but can be economically repaired.
X	Salvage. Property that has value in excess of its basic material content but repair or rehabilitation is impractical and/or uneconomical.
S	Scrap. Property that has no value except for its basic material content.

Disposition Code	Definition
1	The property will continue to be used for the purposes authorized in the award
2	The property is no longer needed for the purposes of the award, and will be used on another federally sponsored activity (<i>list activity and federal agency</i>).
3	The recipient wishes to retain the property and compensate DOE for its share of the current per unit fair-market value. (<i>Identify the fair-market value on the attached property inventory list and describe how the value was determined</i>)
4	The property is no longer needed for the purposes of the award or other federally sponsored activities and the recipient requests DOE disposition instructions.

TANGIBLE PERSONAL PROPERTY REPORT

SF- 428

		Page ____	of ____ Pages
1. Federal Agency and Organization Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned by Federal Agency	3a. DUNS	3b. EIN
4. Recipient Organization (Name and complete address including zip code)		5. Recipient Account or Identifying Number	
6. Attachment (Check applicable) <input type="checkbox"/> Annual Report (SF-428-A) <input type="checkbox"/> Final (Award Closeout) Report (SF-428-B) <input type="checkbox"/> Disposition Report/Request (SF-428-C)		7. Supplemental Sheet <input type="checkbox"/> Yes <input type="checkbox"/> No	
8. Comments			
9a. Typed or Printed Name and Title of Authorized Certifying Official		9c. Telephone (<i>area code, number, extension</i>)	
		9d. Email address	
9b. Signature of authorized Certifying Official		9e. Date report submitted (<i>Month, Day, Year</i>)	
		10. Agency use only	

Instructions for Tangible Personal Property Report: SF-428

The estimated annual public reporting burden for the collection of information on this form and its attachments is estimated to average 2.75 hours per respondent, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

This is a standard form to be used by awarding agencies to collect information related to tangible personal property (equipment and supplies) when required by a federal financial assistance award. The form consists of the cover sheet (SF-428) and three attachments to be used as required: Annual Report, SF428-A; Final (Award Closeout) Report, SF-428-B; and a Disposition Request/Report, SF-428-C. A Supplemental Sheet, SF-428S, may be used to provide detailed individual item information.

A. General Instructions:

Tangible personal property means property of any kind, except real property, that has physical existence. It includes equipment and supplies. It does not include copyrights, patents or securities. For convenience, throughout this form and its attachments, the term property will be synonymous with tangible personal property. The terms equipment and supplies will be used when referring to specific requirements.

Property may be provided by the awarding agency or acquired by the recipient with award funds. Federally-owned property consists of items that were furnished by the federal government.

Recipients of federal assistance awards may be required to provide federal awarding agencies with information concerning property in their custody annually, at award closeout or when the property is no longer needed. Specific requirements will vary based on award provisions, the type of property (equipment or supplies) and whether the property is federally owned. This reporting form and its attachments are intended to assist recipients to provide necessary information when it is required.

1. Federal Agency and Organizational Element to Which Report is Submitted. Enter the name of the federal agency and the agency organization element identified in the award document or as otherwise instructed by the agency. The organizational element is a sub-agency within a federal agency. For example, the Air Force Office of Scientific Research (AFOSR) is an organizational element within the Department of Defense.

2. Federal Grant or Other Identifying Number Assigned by Federal Agency. Enter the federal grant, cooperative agreement or other federal financial assistance award instrument number or other identifying number assigned to the federal financial assistance award.

3a. DUNS. Enter the recipient organization's Data Universal Numbering System (DUNS) number or Central Contract Registry extended DUNS number. The DUNS number is also referred to as the Universal Identifier.

3b. EIN. Enter the recipient organization's Employer Identification Number (EIN) as assigned by the Internal Revenue Service.

4. Recipient Organization. Enter the name and complete address, including zip code, of the recipient organization.

5. Recipient Account or Identifying Number. Enter the account number or other identifying number assigned to the award by the recipient. This number is for the recipient's use and is not required by the federal agency.

6. Attachment. Check the applicable line to indicate the type of attachment being submitted. Use the Annual Report, SF-428-A, when required to provide annual inventory listings of federally owned property. Use the Final Report, SF-428-B, when required to provide property information in connection with the closeout of an award. Use the Disposition Request/Report, SF-428-C, when required to request disposition instructions for or to report the disposal of federally-owned property or acquired equipment, at any time other than award closeout (i.e., during the award period or after award closeout as long as the federal government retains an interest in the item).

7. Supplemental Sheet. Check the applicable block to indicate whether a Supplemental Sheet is attached. Recipients may use the SF-428S or equivalent document such as a computer print out to provide required detailed individual item information.

8. Comments. Provide any explanations or additional information in this block. Attach additional sheets if necessary.

9a. Typed or Printed Name and Title of Authorized Certifying Official. Enter the full name and title of the recipient representative authorized to sign this report.

b. Signature of Authorized Certifying Official. Original signature of the recipient as an authorized certifying official.

c. Telephone. Enter the telephone number of the individual listed in Line 9a.

d. Email address. Enter the email address of the individual listed in 9a.

e. Date report submitted. Enter the date the report is submitted to the federal agency.

10. Agency use only. This section is reserved for federal agency use only.

TANGIBLE PERSONAL PROPERTY REPORT

Disposition Request/Report SF-428- C

Federal Grant or Other Identifying Number Assigned by Federal Agency (Block 2 of SF-428)									
1. Request Disposition Instructions for:	For Agency Use Only								
a. Federally-owned Property <i>(Select one or more and attach Supplemental Sheet SF-428S or recipient equivalent)</i> (i) <input type="checkbox"/> Request Federal Agency disposition instructions (ii) <input type="checkbox"/> Other (Specify in Block 4 "Comments" or attach request)	Agency response to requested disposition of federally owned property: (i) Recipient request approved <input type="checkbox"/> denied <input type="checkbox"/> . (ii) Dispose in accordance with attached instructions <input type="checkbox"/> .								
b. Acquired Equipment with current fair market value of \$5,000 or more <i>(Select one or more and attach Supplemental Sheet SF-428S or recipient equivalent)</i> (i) <input type="checkbox"/> Request approval to trade-in or sell to offset costs of replacement equipment (ii) <input type="checkbox"/> Request Federal Agency disposition instructions	Agency response to requested disposition of acquired equipment: (i) Recipient request approved <input type="checkbox"/> denied <input type="checkbox"/> . (ii) Dispose in accordance with attached instructions <input type="checkbox"/> .								
	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: center; padding: 2px;">Authorized Awarding Agency Official</th> </tr> <tr> <td style="width: 70%; padding: 2px;">Signature:</td> <td style="width: 30%; padding: 2px;">Date:</td> </tr> <tr> <td style="padding: 2px;">Name:</td> <td style="padding: 2px;">Phone:</td> </tr> <tr> <td style="padding: 2px;">Title</td> <td style="padding: 2px;">Email</td> </tr> </table>	Authorized Awarding Agency Official		Signature:	Date:	Name:	Phone:	Title	Email
Authorized Awarding Agency Official									
Signature:	Date:								
Name:	Phone:								
Title	Email								
2. Report Disposition by Sale or Retention a. <input type="checkbox"/> Retention of acquired equipment for use on non-federally supported projects b. <input type="checkbox"/> Sale of acquired equipment (Attach Supplemental Sheet SF-428S or recipient equivalent and complete worksheet below) (i) Sale proceeds (or estimate of current fair market value)..... \$ _____ (ii) Percentage of federal participation _____ % (iii) Federal share \$ _____ (iv) Selling and handling allowance \$ _____ (v) Amount remitted to the federal government..... \$ _____									
3. Report Loss, Destruction or Theft of Federally-owned Property <input type="checkbox"/> Loss, Destruction or Theft of Federally-owned property (Attach Supplemental Sheet SF-428S or recipient equivalent and describe the circumstances in Block 4)									
4. Comments									
DISPOSITION REQUEST/REPORT ATTACHMENT TO TPR									
Agency use only									

Instructions for Disposition Request/Report: SF-428 Attachment C

A. General Instructions:

This Attachment is to be used by recipients when required to request disposition instructions or to report disposition of federally-owned property or acquired equipment under federal assistance awards at any time other than award closeout (i.e., during the award period or after closeout as long as the federal government retains an interest in the item).

Recipients provided federally-owned property for use under federal assistance awards are required to request disposition instructions from the awarding agency when the federally-owned property is no longer needed for the authorized purpose. Recipients may be required to request disposition instructions for equipment acquired with award funds (acquired equipment) when an item is no longer needed for use on federally-sponsored activities. Recipients may also be required to provide compensation to the awarding agency when acquired equipment is sold or retained for use on activities not sponsored by the federal government. This attachment is intended to assist recipients in providing appropriate information to the awarding agency. Note: If the federal awarding agency has exercised statutory authority to vest title to acquired equipment in the recipient with no further obligation to the federal government, you are not required to request disposition instructions or to report disposition (i.e., sale or retention for non-federal use) of those items of equipment.

Federal Grant or Other Identifying Number Assigned by Federal Agency. Enter the federal grant, cooperative agreement or other federal financial assistance award instrument number or other identifying number assigned to the federal financial assistance award.

1. Request Disposition Instructions for: Use this section to request federal awarding agency disposition instructions when required by the award provisions.

a. **Federally-owned Property.** Consists of items that were furnished by the Government. Check applicable blocks to indicate the requested federal awarding agency action for items that are no longer needed for use on the award specified in Block 2.

- (i) To request federal agency disposition instructions
- (ii) To request a specific disposition, e.g., transfer to another award

b. **Acquired Equipment with a current fair-market value of \$5,000 or more.** Note: Fair-market value means the best estimate of the gross sales proceeds if the property were to be sold in a public sale. Check applicable blocks to indicate the requested federal awarding agency action.

- (i) To request approval to trade-in or sell to offset costs of replacement equipment
- (ii) To request federal agency disposition instructions for equipment acquired with award funds

2. Report Disposition by Sale or Retention. Use this section when required to compensate the federal awarding agency for its interest in acquired equipment with a current fair-market value of \$5,000 or more that you have sold or retained for use on non-federally supported activities. Check applicable blocks to indicate the type of action being reported and complete the worksheet to calculate the amount of compensation due to the awarding agency for its interest in the equipment.

- a. Retention of acquired equipment for use on non-federally supported projects.
- b. Sale of acquired equipment

Worksheet

- (i) Enter the total amount received if the equipment has been sold. Enter an estimate of the current fair-market value if the equipment will be retained for use on non-federally funded projects.
- (ii) Enter the percentage of federal government participation in the award under which the equipment was acquired.
- (iii) Enter the dollar amount of sales proceeds (or estimate of current fair-market value) multiplied by the percentage of federal Government participation listed in (ii).
- (iv) If the equipment was sold, enter the amount of selling and handling expenses. Enter zero if the equipment will be retained for use on non-federally funded projects.
- (v) Enter the amount of the federal share in (iii) less the selling and handling expense listed in (iv). Indicate in Block 8 how the funds are being returned to the government. For example, attached check made out to the awarding agency/U.S. Treasury or electronic remission.

3. Report Loss, Destruction or Theft of Federally-owned Property. Use this section to notify the awarding agency. Check block to indicate that federally-owned property has been lost, damaged or stolen, list the item(s) on SF-428S or recipient equivalent and describe the circumstances in Block 4.

4. Comments. Provide any explanations or additional information in this block. Attach additional sheets if necessary.

Agency use only. This section is reserved for federal agency use only.

TANGIBLE PERSONAL PROPERTY REPORT Supplemental Sheet SF-428S

Federal Grant or Other Identifying Number Assigned by Federal Awarding Agency (Block 2 of SF-428)	Attachment Type <input type="checkbox"/> Annual Report <input type="checkbox"/> Final (Award Closeout) Report <input type="checkbox"/> Disposition Request/Report	Page	Of Pages
---	--	------	----------

Complete one row for each item:

	Award Number (a)	GP or ACQ (b)	Description of Item (c)	Identification Number (d)	Acq. Date (e)	Cond. Code (f)	Acq. Cost (g)	Disp. Req. (h)
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

Instructions for Tangible Personal Property Report: SF-428S

A. General Instructions

This is a standard form to be used by recipients to provide detailed individual item information in connection with required reports of tangible personal property under federal assistance awards.

Federal Grant or Other Identifying Number Assigned by Federal Agency. Enter the federal grant, cooperative agreement or other financial assistance award instrument number or other identifying number assigned to the federal financial assistance award. If the Supplemental Sheet is submitted in connection with a Consolidated Annual Report Attachment, leave blank and enter individual award numbers in Column (a) for each item.

Report Type. Indicate the type of report attachment for which the individual item information is being provided.

- a. **Award Number.** For Consolidated Annual Report Attachments, enter the federal grant, cooperative agreement or other federal financial assistance award instrument number or other identifying number assigned to the federal financial assistance award. For all other report attachments (i.e., Individual Annual, Final, and Disposition Request/Report) leave blank.
- b. **GP or ACQ.** Enter GP if the item is federally-owned property. Note: Federally-owned property consists of items furnished by the federal government for use on the award identified in Block 1 or Column a. Enter ACQ if the item was acquired with award funds.
- c. **Description of Item.** Provide a brief description of the item.
- d. **Identification Number.** Enter the manufacturer's serial number, model number, federal stock number, national stock number, or other identification number.
- e. **Acq. Date.** Enter the date the item was acquired by the recipient. For items furnished by the federal government, enter the date received by the recipient.
- f. **Cond. Code.** Enter the applicable condition code from the following list:

Code	Description
1	Excellent Property in new condition or unused condition and can be used immediately without modification or repairs.
4	Usable Property that shows some wear, but can be used without significant repair.
7	Repairable Property unusable in its current condition but can be economically repaired.
X	Salvage Property that has value in excess of its basic material content but repair or rehabilitation is impractical and/or uneconomical.
S	Scrap Property that has no value except for its basic material content.

- g. **Acq. Cost.** Enter the item acquisition cost.
- h. **Disp. Req.** Indicate the type of disposition requested for each item by entering the corresponding number from Block 2 of the Final Report Attachment or Block 1 of the Disposition Request/Report Attachment. However, it is not necessary to enter this information when requesting the same disposition for all items of federally-owned property or the same disposition for all items of Acquired Equipment (the disposition request indicated in the applicable Block(s) of the Final Report Attachment or the Disposition Request/Report Attachment will be sufficient). Not required for Annual Report Attachments.



MISSOURI
DEPARTMENT OF
NATURAL RESOURCES

Attachment 5-4
PROPERTY CLOSEOUT CERTIFICATION SPREADSHEET
Subgrantee Name: _____

9/25/2014

[illegible]

Condition Code:	1	New. Property which is in new condition or unused condition and can be used immediately without modifications or repairs.
	4	Usable. Property which shows some wear, but can be used without significant repair.
	7	Repairable. Property which is unusable in its current condition but can be economically repaired.
	X	Salvage. Property which has value in excess of its basic material content, but repair or rehabilitation is impractical and/or uneconomical.
	5	Scrap. Property which has no value except for its basic material content.

Disposition Code:	1	The property will continue to be used for the purposes authorized in the award.
	2	The property is no longer needed for the purposes of the Award, and will be used on another Federally sponsored activity (List Activity and Federal Agency).
	3	The Recipient wishes to retain the property and compensate DOE for its share of the current per unit fair market value. (Identify the fair market value and describe how the value was determined. Example: Attach print out of Kelley Blue Book value, mileage-if applicable, and a picture of the item.)
	4	The property is no longer needed for the purposes of the Award or other Federally sponsored activities and the Recipient requests DOE disposition instructions.

Equipment / Vehicle Disposal Report

AGENCY: _____ DATE: _____

Subgrantees will have 90 days from the date of an approval letter from the department to dispose of equipment. The subgrantee will contact the department after the sale of the equipment with the amount of funds to be returned to the program and used to reduce support costs. This form will be used to serve the documentation needs of the department.

Date of Sale	Vehicle/Equipment Disposed of (Type)	Original Purchase or Transfer Fund Source	ID # or VIN	Cash Receipt From Sale

Building Lease Request or Vehicle / Equipment Purchase or Lease Request

Agency: _____ **Signature:** _____ **Date:** _____

Description of Request: _____

Is this item needed to: (check one) ☐ Program Expansion ☐ Attrition
☐ Other (explain) _____

For what purpose will the item be use? _____

Why do you need to purchase the item(s)? _____

Do you currently own/lease similar item(s) that this purchase will replace? ☐ Yes ☐ No

It the above is Yes, describe:

Item	Serial #	Purchase Price	Purchase Date	Fund Source	Present Value	Condition

Are you herein requesting disposal approval for item(s) listed above? ☐ Yes ☐ No

Is the requested item budgeted? ☐ Yes ☐ No

It the above is Yes, describe:

Amount Budgeted	Grant(s) to be Used	Estimated Cost	Date Needed

Has the budget been approved? ☐ Yes ☐ No Budget In Review? ☐ Yes ☐ No

Estimated cost of a purchase \$ _____ Sales Tax \$ _____ License/Regist. \$ _____

Company/Dealership Lease ☐ Yes ☐ No

Agency Lease ☐ Yes ☐ No

Estimated Cost of a Lease \$ _____ Monthly.

Length of Lease Agreement (indicate months or years) _____

Is there an additional charge per mile? (Explain) _____

Other Associated Costs of Lease:

<u>Item</u>	<u>\$ Amount</u>	<u>Cost Include in Lease Payment?</u>	
License/Regist. Fee	_____	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Insurance	_____	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Maintenance	_____	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Sales Tax	_____	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Other: _____	_____	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Termination/Buy-out fee	_____	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Explain above fee:	_____		

Attach copies of at least three informal bids of a lease and at least informal bids of a purchase. Please see Section 5, III. C. in the Weatherization Operations Manual for information concerning leasing.

Sample Form

	IFB			
INVITATION FOR BID	DATE:		PAGE of	
Return Bids to:	RFQ. No.			
	Sealed bids must be received in the Office of the Division of Purchasing no later than _____ p.m. _____ (date) The supplies and /or services required herein must be Delivered F.O.B. DESTINATION at the following Address: 			
Buyer:				
Telephone:				
Received From:				
	Terms:		%	Days
Delivery: Requested Delivery is _____ Days ARO,		Bidders State Best Delivery Date is _____		
BID MUST BE SIGNED TO BE VALID				
The bidder hereby agrees to furnish items and/or services, at the prices quoted, pursuant to all requirements and specifications contained in this document, upon either the receipt of an authorized Purchase Order from the agency or when this document is countersigned by the agency as a binding Contract. The Bidder further agrees that the language of this document shall govern in the event of a				
Company:		Date:		
Authorized Signature:		Title:		
Phone Number:		Federal ID or Social Security		
NOTICE OF AWARD: (Agency Use Only)		CONTRACT NO.:		
Accepted as to Items:				
Signature of Buyer		Director of Purchasing		Date

MISSOURI
DEPARTMENT OF
NATURAL RESOURCES

IFB No.: _____		INVITATION FOR BID		Date: _____		Page: ____ of ____	
Item No.	Description	Estimated Quantity	Material Price	Labor Price	Total Price		
Company Name:			Authorized Signature:				

Sample Form

Form B – Bidder Qualification Review

(FOR AGENCY USE ONLY)

Supplier / Bidder: _____

Bid Opened by: _____ Date: _____

		Yes	No
1.	Bidder has met deadline for written bid.	<input type="checkbox"/>	<input type="checkbox"/> *
2.	Original bid was submitted in sealed envelope with "SEALED Bid written on outside.	<input type="checkbox"/>	<input type="checkbox"/> *
3.	Bidder has completed all Bid Forms and Line Items in ink or typewritten.	<input type="checkbox"/>	<input type="checkbox"/> *
4.	Bid meets stated material specification standards.	<input type="checkbox"/>	<input type="checkbox"/> *
5.	Bidder has agreed to _____ payment terms.	<input type="checkbox"/>	<input type="checkbox"/> *
6.	Bidder has guaranteed delivery of materials/service within _____ days of receipt of this letter.	<input type="checkbox"/>	<input type="checkbox"/> *
7.	Bidder has submitted all information necessary for data evaluation.	<input type="checkbox"/>	<input type="checkbox"/> *
8.	Bidder has signed the bid in ink.	<input type="checkbox"/>	<input type="checkbox"/> *
9.	Bidder has responded to all questions and information requested and completed all portions of the bid package.	<input type="checkbox"/>	<input type="checkbox"/>
10.	Capability of bidder to perform: (mark only one of the following)		
a.	Bidder has successfully completed a contract with _____ in the past; or	<input type="checkbox"/>	<input type="checkbox"/>
b.	Bidder has submitted the name(s) of other purchasers with whom they have supplied materials and performed satisfactorily; or	<input type="checkbox"/>	<input type="checkbox"/>
c.	Bidder has posted a performance bond.	<input type="checkbox"/>	<input type="checkbox"/>
11.	Bidder has the capability to fulfill all terms and obligations in the bid.	<input type="checkbox"/>	<input type="checkbox"/>

*** Must be answered "Yes" to be eligible for data evaluation.**

All questions must be answered "Yes" within five (5) working days of bid opening for bidder to be eligible to receive award.

Sample RFQ Form

Form C – Clean & Tune and General Repairs

REQUEST FOR QUOTATION	RFQ No. _____	Target Date _____
Requester: _____	Date: _____ Page: _____ of _____	Time: _____ p.m. Date: _____
Received From: _____	Telephone No. _____ Delivery To (F.O.B. Destination): _____	

Instructions

Upon receipt, the Respondent should submit a quotation in the manner as indicated below. The target date/time specified above is the time by which a quotation is needed. The requestor may assume that the Respondent is not submitting a quotation if a response is not received by the target date/time.

Description	Item No.	Est. Qty	Unit Material Cost	Unit Labor Cost	Total Amount
Clean and Tune, Gas Heating System Includes adding or replacing air filter(s), belt(s) and thermocouple if needed. [ea]	1	_____	_____	_____	_____
Clean and Tune, Gas Space Heater Includes adding or replacing thermocouple if needed. [ea]	2	_____	_____	_____	_____
Clean and Tune, Oil Heating System Includes adding or replacing air filter(s), belt(s), oil filter and nozzle if needed. [ea]	3	_____	_____	_____	_____
Clean and Tune, Oil Space Heater Includes adding or replacing oil filter and nozzle if needed. [ea]	4	_____	_____	_____	_____
General Repairs, Total of line items on Page 2 _____ and 3 _____	5	N/A	N/A	N/A	_____
Total Quotation (Add lines 1, 2, 3, 4 & 5)		_____	_____	_____	\$ _____

The Respondent hereby agrees to furnish items and/or services, at the prices quoted, pursuant to all requirements and specifications contained in this document, upon either the receipt of an authorized Purchase Order from the agency or when this document is countersigned by the agency as a binding Contract. The Respondent further agrees that the language of this document shall govern in the event of a conflict with His or Her quotation.

Company Name: _____	Date: _____
Authorized Signature: _____	Title: _____
Phone No. _____	Federal ID or Social Security No.: _____
Notice of Award (Agency Use Only) _____	Contract No.: _____
Accepted as to Items: _____	
Signature of Buyer: _____	Date: _____
Director of Purchasing: _____	Date: _____

*****PRICING PAGE*****

RFQ No. _____		REQUEST FOR QUOTATION		Date: _____		Page ____ of ____	
Item No.	Description	Est. Qty	Unit Material Cost	Unit Labor Cost	Total Amount		
	Note: Bid each line item for the quantity shown (each linear foot, square foot, etc.). Bid only in whole dollars and cents. You must bid all line items. All parts and materials must be new. All prices (except the service call) are bid with the assumption that you are already on site.						
1	Air filter kit, permanent, manufacturer approved, for mobile home gas furnace. Note: To be paid as a General Repair or when kit is required on mobile home clean & tune. [each]	_____	_____	_____	_____		
2	Bearings/shaft in blower assembly [each]	_____	_____	_____	_____		
3	Blower motor, direct drive (when possible, P.S.C.) [each]	_____	_____	_____	_____		
4	Blower motor, belt drive (when possible, P.S.C.) [each]	_____	_____	_____	_____		
5	Combustion air [each]	_____	_____	_____	_____		
6	Damper (volume control) in supply run [each]	_____	_____	_____	_____		
7	Duct insulation (1 1/2" fiberglass foil-faced) [square foot]	_____	_____	_____	_____		
8	Electronic ignition [each]	_____	_____	_____	_____		
9	Emergency disconnect switch [each]	_____	_____	_____	_____		
10	Fan/limit control [each]	_____	_____	_____	_____		
11	Gas stop [each]	_____	_____	_____	_____		
12	Gas valve [each]	_____	_____	_____	_____		
13	Heat duct (includes elbows and connectors) [linear Foot]	_____	_____	_____	_____		
14	Pilot assembly, complete [each]	_____	_____	_____	_____		
Company Name: _____		Authorized Signature: _____					

*****PRICING PAGE*****

RFQ No. _____		REQUEST FOR QUOTATION		Date: _____		Page ____ of ____	
Item No.	Description	Est. Qty	Unit Material Cost	Unit Labor Cost	Total Amount		
15	Service Call:						
	a) Travel to and from plus one hour of work [each]	_____	_____	_____	_____		
16	b) Subsequent charge per hour [each]	_____	_____	_____	_____		
17	Sheet metal [each]	_____	_____	_____	_____		
18	Thermal vent damper and spill switch on gas-fired heating system [each]	_____	_____	_____	_____		
19	Thermal vent dampers with spill switch on gas-fired heating system and gas-fired domestic water heater [each]	_____	_____	_____	_____		
20	Thermocouple, Note: to be paid only when a service call is required. [each]	_____	_____	_____	_____		
21	Thermostat, heat only [each]	_____	_____	_____	_____		
22	Thermostat, heat and cool [each]	_____	_____	_____	_____		
23	Transformer [each]	_____	_____	_____	_____		
24	Vent pipe, single wall (includes elbows and connectors) [linear foot]	_____	_____	_____	_____		
25	Vent pipe, double wall (Type B) (includes elbows and connectors) [linear foot]	_____	_____	_____	_____		
Company Name: _____			Authorized Signature: _____				

Request For Quotation (RFQ) Guidance

Table of Contents

Part I	General Information
Part II	Instructions to Respondents
Part III	Technical Specifications.....
Part IV	Specific Requirements
Part V	Contractual Requirements
Form A	Work Order and Procedure for Gas Furnace Clean & Tune
Form B	Work Order and Procedure for Boiler Clean & Tune.....
Form C	Work Order and Procedure for Oil Furnace Clean & Tune
Form D	Furnace or Space Heater Replacement.....

Part I: General Information

- A. This quotation is for furnace clean, tune, and general repair work on gas heating systems (forced air furnaces, wall and floor nits, and boilers). Quoted prices must be based on COMPLETE service, including labor, parts and materials. Approximately _____ residential houses and mobile homes will be serviced before July _____ in the counties of _____
- B. The agency will perform diagnostic tests on the furnace and prepare a work order indicating the work to be performed. Winning contractors shall clean, inspect and tune the combustion area, flue and air handling systems for increased efficiency and provide general repairs as indicated by the agency auditor on the work order. (See Attachments A, B, & C). If the agency auditor notices any components or functions which are questionable, they will be noted on the work order. If additional work is needed but not specified on the work order, the contractor must receive agency approval before proceeding. No additional work will be paid for without prior authorization from the agency.
- C. Contractors shall have _____ days from date of work order issuance in which to complete each job. Should, upon quality control inspection, the agency find improperly completed work, the contractor must correct the deficiencies within _____ working days (____ working day(s) during severely cold weather). Credit for completed work shall be provided when all scheduled work (including rework) for the individual job has passed quality control inspection by the agency. Payment for completed work shall be provided on a monthly basis. Contractors are responsible for returning completed work orders to the agency and notifying the agency when jobs are completed.
- D. The Request For Quotation (RFQ) must be fully completed in order to receive consideration.
- E. The agency reserves the right to accept and reject any RFQ and to disqualify any respondent. The agency reserves the right to terminate the RFQ process and to re-submit RFQs as necessary prior to final contractual award.
- F. The agency shall evaluate each quotation and award contracts in the following manner:
1. The LOWEST PRICED RESPONDENT per award area shall be notified of initial review.

2. The respondent shall then have FIVE WORKING DAYS to meet one of the following criteria:
 - a. The respondent has successfully completed a contract with the agency in the past; or
 - b. The respondent has submitted name(s) of other purchasers with whom they have provided service and performed satisfactorily; or
 - c. The respondent has posted a performance bond. (The performance bond may be in the form of any type of monetary guaranteed surety such as a bond, Cashier's Check or Treasurer's Check.) The bond amount will be _____ % of the contract amount.
 3. The respondent shall then have FIVE WORKING DAYS to submit to the agency, the necessary liability insurance documentation and proof of OSHA training. (Should the respondent wish, this documentation may be submitted with the written RFQ.)
 4. Upon submission of the required documentation as indicated above, the agency shall enter into a contract with the winning cContractor. When this document is countersigned by the agency, this document becomes a contract.
 5. Should the respondent fail to submit the required liability insurance documentation, the respondent shall be disqualified.
 6. In the event that this is a TELEPHONE QUOTATION, the respondent shall have FIVE WORKING DAYS from notification to submit the necessary liability insurance documentation AND to sign the RFQ which was filled out by the agency during the telephone solicitation.
- G. The Missouri Weatherization Program is funded _____% by federal funds. The total amount of weatherization program funds subgranted to _____ during the current program year is \$_____.

Part II: Instructions to Respondents

NOTE: It is very important to follow these instructions carefully!

- H. The respondent must complete all costs and sign all three pricing pages in handwritten or typewritten indelible ink for each county in which the respondent is interested.
- I. This RFQ must be submitted in a clearly marked, sealed envelope.
- J. Modifications to this quotation by the respondent are not allowed.
- K. All prices must be stated as firm fixed prices. Discounts are not allowed.
- L. Provide Unit Material Cost and Unit Labor Cost in the appropriate columns on the Pricing Pages. The sum of the Unit Material Cost and Unit Labor Cost should be multiplied by Estimated Quantity to obtain the total for each Item.

- M. A pre-quotation conference will be held:

- N. The deadline for RFQ submission is _____ at _____ am/pm
at (location): _____

- O. The winning respondents shall have 5 working days from the date of final award announcement to submit to the agency:
 - 1. A copy of a current business permit or occupational license (where applicable).
 - 2. Verification that the respondent is registered and maintains good standing with the Secretary of State of the State of Missouri and other regulatory agencies, as my be required by law or regulations.
 - 3. Certificates of general liability insurance.
 - 4. Certificates of Workmen's Compensation insurance (when needed).
 - 5. Proof of OSHA training its employees have received during the most recent 12 months or planned training for the upcoming 12 months.
 - 6. Proof of EPA Certified Firm Certification.

7. Proof of Certified Renovator and Lead Safe Work (LSW) training documentation, if any LSW is to be performed.
8. The respondent must meet one of the following criteria:
 - a. The respondent has successfully completed a contract with the agency in the past; **OR**
 - b. The respondent has submitted name(s) of other purchasers with whom they have provided service and performed satisfactorily; **OR**
 - c. The respondent has posted a performance bond. (The performance bond may be in the form of any type of monetary guaranteed surety such as a bond, Cashier's Check or Treasurer's Check.) The bond amount will be_% of the contract amount.

Part III – Technical Specifications

All work must be performed to manufacturer's design specifications, industry standards and accepted practices.

Materials must meet or exceed the specifications cited or subsequent approved standards, which supersede these specifications.

Thermostat Control System

Line Voltage or Low Voltage Room Thermostats: NEMA DC 3-2003 (or the latest version)

Thermostat setting numbers must be legible. Thermostat must have thermometer.

(Thermometer is not mandatory to mobile home units: Mercury-bulb type thermostat is not applicable to mobile home units.)

Hydronic Boiler Control: Commercially available.

Water Heater Modifications

Install Vent Damper, Gas Fueled: Conformance to ANSI Z21.67, including Addenda A and B 1985, and NFPA 54-2012 (or the latest version).

Boiler Repair and Modifications/Efficiency Improvements

Readjust Boiler Water Temperature or Install Automatic Boiler Temperature Reset Control: Conformance to ANSI/ASME CSD-I-2006, and NFPA 31-2011 (or the latest version).

Install/Replace Thermostatic Radiator Valves: Commercially available. One-pipe steam systems require steam air vents on each radiator. See manufacturer's requirements.

Clean Heat Exchanger. Adjust Burner Air Shutter(s). Check Operation of Pump(s) per manufacturer's requirements.

Install Boiler Duty Cycle Control System: Commercially available.
National Electrical Code and local electrical codes provisions for wiring.

Replace constant burning pilot with electronic ignition device and electrically operated damper on gas-fueled boilers: Conformance to ANSI Z21.71-1993 and ANSI Z21.71a-2005 (or the latest version).

Replace Combustion Chamber in Oil Boiler: Conformance to NFPA 31-2011 (or the latest version).

Heating System Repairs and Tune-ups/Efficiency Improvements

Duct Insulation: Conform to ASTM C1290 - 06e1 Standard Specification for Flexible Fibrous Glass Blanket Insulation Used to Externally Insulate HVAC Ducts and with attention paid to manufacturers' recommendations (or the latest version).

Clean Heat Exchanger and Adjust Burner: Adjust air shutter and check CO₂ and stack temperature; clean or replace air filter on forced air furnace. Conform to ANSI Z223.1- 2012 (NFPA 54-2012), National Fuel Gas Code (or the latest version).

Install Vent Dampers (gas fueled systems: Conform to applicable sections of ANSI Z223.1 (NFPA 54-2012), including Appendices H, I, J and K. Thermally Activated Vent Dampers: ANSI A21.68-1985 and Appendices A and B (or the latest version).

Reduction of Vent Connector Size of Gas Fueled Appliances: Conform to ANSI Z223. 1- 2012 (NFPA 54-2012) Part 9 and Appendices G and H (or the latest version).

Readjust fan switch on forced air gas or oil fueled furnaces: Conform to applicable sections and Appendix H of (NFPA 54-2012) for Gas Furnaces and NFPA 31-2011 for Oil furnaces (or the latest version).

Replace Air Diffusers, Intakes. Registers and Grilles: Commercially available.

Install/Replace: Warm Air Heating Metal Ducts: Commercially available.

Install combustion air in accordance with NFPA 54-2012 (or the latest version). Repair/Replace

Oil-Fired Equipment: Conformance to NFPA 31-2011 (or the latest version).

Replace Combustion Chamber in Oil-Fired Furnace: Conform to NFPA 31-2011 (or the latest version).

Check Smoke Number on Oil-Fueled Equipment.

Replacement of Oil Nozzle and Filter: Per manufacturer's instructions.

Adjust Barometric Draft Regulator for Fuel Oil: NFPA 31-2011 and per manufacturers' (furnace or burner) instructions (or the latest version).

Part IV – Specific Requirements

- P. The contractor shall maintain Comprehensive General Liability Insurance at a minimum of \$300,000 Combined Single Limit for Bodily Injury and Property Damage, per occurrence and aggregate. There shall be no deductible clause on any policy of the insurance provided. This Comprehensive General Liability coverage must include premises and operations, broad form property damage, products/completed operation, contractual insurance, independent contractors, and personal injury.

The contractor shall maintain Worker's Compensation Coverage as required by law.

Certification of coverage must be provided to the agency prior to the commencement of any work under this contract. Certification shall include documentation that the coverage shall remain in force for the duration of this contract.

- Q. The contractor shall indemnify and hold harmless the client, agency and State, including employees and officers, from any and all actions claims, losses and liabilities which may be made against the agency or state as a result, directly or indirectly, of the performance of this contract. The agency shall assist the contractor as may reasonably be necessary. Insurance coverage as specified herein shall be provided in support of these indemnification requirements but shall not release the contractor from these responsibilities.
- R. The contractor shall comply with the National Fuel Gas Code for all work and materials performed on gas systems and, where applicable, all local/city codes, regulations and standards. The quality control inspection report of the agency shall not be deemed to be a warranty or representation that all such regulations and standards have been complied with by the contractor.
- S. The contractor shall notify the agency of any unsafe or dangerous conditions concerning the heating system being serviced. The existence of these conditions or problems may have been undetectable or overlooked by the agency auditor.
- T. The contractor shall furnish items and services at the prices quoted herein, in accordance with the specifications and the terms and conditions listed on each work order, this document, and mutually approved amendments. The contractor guarantees the stated prices through June 30.
- U. The contractor agrees to notify the agency in writing immediately of changes in his availability or ability to successfully complete the work specified herein. The contractor shall be held fully accountable for all work prior to notification of the agency.

- V. The following services shall be completed by the contractor:
1. Complete all work designated on the work order, in accordance with the Technical Specifications and other applicable sections of this document;
 2. Provide the service within _days from the date of issuance of the work order by the agency;
 3. Complete the work order by marking all applicable areas, and sign and date it. Request quality control inspection of work by returning the completed work order and invoice within 5 calendar days of the completion of the work. This notification shall identify: (1) the client, (2) client's address, (3) job number, (4) all work which was performed, (5) all work which was identified by the agency but not performed and reasons why it was not, (6) labor costs and (7) material costs.
 4. Prior to receiving final work approval by the agency provide re-work service, when needed, (within a day in extremely cold weather) from the date of issuance of the rework order by the agency at no additional cost.
 5. Keep the work areas as clean and safe as possible with minimal disturbance to the client, and broom clean all work areas upon completion of the work.
 6. Request a change order for the job when the work cannot be performed as indicated, when the client refuses the work, or the service called for does not match the actual job site
- W. The contractor warrants that all materials installed in performance of this contract shall be free of defect in materials and workmanship for a period of 12 months from date of installation (in order to cover one complete heating season). Should any material prove defective within 12 months, the contractor agrees to replace the defective materials with new, non-defective materials at no cost to the agency or the client within _____ working days of notification (within _____ working day(s) in extremely cold weather)
- X. The agency reserves the right to accept and reject any RFQ and to disqualify any respondent.
- Y. The agency reserves the right to terminate the RFQ process without recourse by the respondent and to re-submit RFQs as necessary prior to the final contractual award.
- Z. The RFQ may be invalidated by the agency and/or the State of Missouri Department of Natural Resources' Division of Energy.
- AA. In the event of a sole source response, the agency reserves the right to negotiate prices with the respondent.

Part V – Contractual Requirements

- BB. The contractor assures compliance with Executive Order 11246 “Equal Employment Opportunity,” as amended by Executive Order 11375 and supplemented by Department of Labor regulations (41 CFR, Part 60).
- CC. The contractor assures compliance with Copeland “Anti-Kickback” Act (18 USC 87) and 29 CFR, Part 3
- DD. No interest shall be paid from department funds for any reason.
- EE. The contract shall be construed according to the laws of the State of Missouri.
- FF. No official or employee of the agency, or official or employee of the contractor or its governing body, or any public official of the State of Missouri who exercises any functions or responsibilities in the review or approval of the undertaking or in the fulfillment of the obligations of the terms and conditions of contract shall, prior to the completion of the term of contract, voluntarily acquire any personal interest, direct or indirect, in the contract, proposed contractor or contract subject.
- GG. The contractor covenants that he has no interest and shall not acquire any interest, direct or indirect, which could conflict in any manner or degree with the performance of the specified services. The contractor further covenants that in the performance of this contract, no person having any such known interest shall be employed.
- HH. The contractor agrees that the agency and/or clients of the agency shall not be liable for the debts of the contractor or any other firm or organization affiliated with the contractor in the fulfillment of the terms of this contract.
- II. All price or item modifications must have prior approval by the agency. This contract shall be amended only in writing. The amendment shall become binding when signed and dated by both parties.
- JJ. It is the contractor's responsibility to fulfill all obligations under this contract. The contractor shall subcontract for labor and or materials only with the advanced expressed written consent of the agency and the department. Approval to subcontract shall in no way release the contractor of his/her responsibility to fulfill his/her obligations under this contract.
- KK. The contractor shall not assign any interest in the contract and shall not transfer any interest, whatsoever in the same (whether by assignment or novation/substitution), without the written consent of the agency.

- LL. The activities of the contractor's staff and associates shall be fully coordinated with the activities of the agency. As the work of the contractor's staff and associates progresses, advice on matters of immediate concern to the agency and related to the specific scope of work covered by the contract, shall be made available to the agency during the period of the contract.
- MM. The contractor acknowledges that funds expended for the purpose of the contract are appropriated by state and/or federal sources and, therefore, the contract shall automatically terminate without penalty or termination costs if such funds are not appropriated. In the event that funds are not appropriated for the contract, the contractor shall not prohibit or otherwise limit the agency's right to pursue and contract for alternate solutions and remedies as deemed necessary by the state and/or federal agency for the conduct of its affairs. The requirements stated in this paragraph shall apply to any amendment or the execution of any option to extend the life of the contract.
- NN. The Department of Natural Resources' Division of Energy's Weatherization Program is not a party to this RFQ or contract and shall be held harmless in any dispute arising from this RFQ or contract.
- OO. The contractor agrees that all work shall be performed in strict compliance with all applicable laws, ordinances, OSHA guidelines, rules and regulations of federal, state, county or municipal governments or agencies, now in force or that may be enacted hereafter. The quality control inspection report of the Agency shall not be deemed to be a warranty or representation that all such laws, ordinances, rules and regulations have been complied with by the contractor.
- PP. In the event that the contractor fails to perform satisfactorily, this contract shall be terminated.
- QQ. Under no circumstances will any lien ever be placed on any client home.
- RR. The contractor shall retain records relating to this contract for five years after final payment is made under the contract. If an audit, litigation, or other action involving the records is started before the end of the five-year period, the records must be retained until all issues arising out of the action are resolved, or until the end of the five-year period, whichever is later. The Department of Energy, Comptroller General of the United States, the Missouri Department of Natural Resources' Division of Energy and the agency or any of their authorized representatives shall have access to a contractor's records.

- SS. The contractor agrees that all work performed with funding administered by the Department of Natural Resources' Division of Energy's Weatherization Assistance Program must meet the objectives and specifications outlined in the Standard Work Specifications for Home Energy Upgrades and the Missouri Weatherization Program Technical Manual. These specifications can be found at: <https://sws.nrel.gov/> and at: <https://energy.mo.gov/assistance-programs/liwap/facts#wxtechnicaldocuments>. All work will be inspected and validated by a certified Quality Control Inspector before being submitted for reimbursement.

Work Order and Procedure for Gas Furnace Clean & Tune

Home Owner Name: _____
Address: _____
City, St, Zip: _____
Phone No.: _____
Job No.: _____

Agency Name: _____
Address: _____
City, St, Zip: _____
Phone No.: _____
Date Work Order Sent: _____
Auditor/QCI Name: _____

_____ is hereby authorized to complete a Clean & Tune as prescribed below.
Submit completed work order and invoice by _____ to receive payment.

I. CLEAN

A. Combustion Area

Auditor	Contractor	N/A	
_____	_____	_____	1. Brush down all dirt, soot, and rust from heat exchanger sections.
_____	_____	_____	2. Brush down and vacuum all flue passageways within the furnace.
_____	_____	_____	3. Remove burner assembly and brush down to remove dirt, soot, loose rust, and clean all flame ports. Inspect for defects.
_____	_____	_____	4. Clean gas orifices and assure proper size.
_____	_____	_____	5. Brush down and vacuum remainder of combustion chamber so that it is free of dirt, soot, and loose rust.
_____	_____	_____	6. Clean pilot orifices and test thermocouple; <u>replace thermocouple if necessary.</u>

B. Flue

_____	_____	_____	7. Inspect flue pipe from furnace to chimney for rust, weak spots, and leaks.
_____	_____	_____	8. Clean and vacuum flue pipe and reinstall in a secure manner. (Seal around flue/chimney connection if necessary.)

C. Air Handling/Distribution

_____	_____	_____	9. Clean and vacuum heat exchanger if accessible.
_____	_____	_____	10. Remove blower assembly to clean and remove any dirt, grease, and foreign matter. Clean and vacuum return air cabinet.
_____	_____	_____	11. Clean and vacuum all supply/return registers and immediate duct openings.
_____	_____	_____	12. Inspect air filter(s) and replace if necessary. (SIZE: ____ x ____ x ____) If permanent type, clean as per manufacturer's recommendation.
_____	_____	_____	13. Clean air conditioning coil, where applicable.

II. TUNE

A. Combustion

Auditor	Contractor	N/A	
_____	_____	_____	14. Adjust gas input pressure to 3.5" W.C. (natural gas) or 10.5" W.C. (liquefied petroleum gas) in the manifold and then clock meter (if possible) to assure the input is within 10% of rate input. NOTE: If gas pressure is correct and clocked input is more than 10% lower than rated input, check orifices for proper size. If furnace is over firing and gas pressure is correct then change to lower orifice size.
_____	_____	_____	15. Adjust primary air shutter to obtain highest CO ₂ and O ₂ in the flue (before diverter) without making CO while still maintaining a steady blue flame with slight yellow tips. There must not be any lifting or floating flames.

A. Combustion Area

- | | | | |
|-------------------------------------|-------|-------|---|
| _____ | _____ | _____ | 16. Adjust pilot flame just high enough to activate the thermocouple & ignite burner without delay. |
| _____ | _____ | _____ | 17. On furnaces with electronic pilot ignition, pilot should ignite without delay. When pilot is proven, burner should ignite without delay. |
| _____ | _____ | _____ | 18. Test igniter to assure that it will lock out after 1st or 2nd attempt to ignite pilot. |
| _____ | _____ | _____ | 19. Measure amperage of gas valve and any other low voltage equipment on the control circuit and set thermostat heat anticipator to match. |
| _____ | _____ | _____ | 20. Level thermostat, and, if necessary, calibrate thermostat and thermostat thermometer to within 1 degree at 72 degree setting. |
| B. Air Handling/Distribution | | | |
| _____ | _____ | _____ | 21. Check blower and motor bearings, lubricate as needed. |
| _____ | _____ | _____ | 22. Check belt condition and adjust for proper tension; <u>replace if worn or cracked.</u> |
| _____ | _____ | _____ | 23. If stack temperature is above 450 degrees, increase blower speed to deliver more heat and lower stack temperature. Stack temperature should not be lower than 350 degrees. If so, decrease blower speed or adjust blowers to obtain greater temperature rise at the supply plenum. NOTE: This may not work on all furnaces. |
| _____ | _____ | _____ | 24. Set fan switch (if possible) so that blower comes on at 110 degrees and goes off at 100 degrees. Set limit no higher than 200 degrees if limit is adjustable. |
| _____ | _____ | _____ | 25. Balance supply distribution for homeowner's comfort, where applicable. |

Comments:

Contractor Certification

Final Stack Temperature _____ Draft _____ CO _____ Ppm _____
 Clock Input _____ Seconds _____ Btu/hour _____ Temperature Rise _____
 Anticipator Setting _____ Measured Amperage _____
I certify that the work specified above has been completed and that all requirements have been met.

Signature of Contractor

Date

Auditor Certification

Final Stack Temperature _____ Draft _____ CO _____ Ppm _____ O₂ _____
 Temperature Rise _____ Call Back Required ☐ Yes ☐ No
I certify that the work specified above has been completed by the contractor.

Signature of Auditor/Inspector

Date

Work Order and Procedure for Boiler Clean & Tune

Home Owner Name: _____
Address: _____
City, St, Zip: _____
Phone No.: _____
Job No.: _____

Agency Name: _____
Address: _____
City, St, Zip: _____
Phone No.: _____
Date Work Order Sent: _____
Auditor/QCI Name: _____

_____ is hereby authorized to complete a Clean & Tune as prescribed below.
Submit completed work order and invoice by _____ to receive payment.

I. CLEAN

A. Combustion Area

Auditor	Contractor	N/A	
_____	_____	_____	1. Brush down all dirt, soot, and rust from heat exchanger sections.
_____	_____	_____	2. Brush down and vacuum all flue passageways within the boiler.
_____	_____	_____	3. Remove burner assembly and brush down to remove dirt, soot, loose rust, and clean all flame ports. Inspect for cracks in tubes.
_____	_____	_____	4. Clean gas orifices and assure proper size.
_____	_____	_____	5. Brush down and vacuum remainder of combustion chamber so that it is free of dirt, soot, and loose rust.
_____	_____	_____	6. Clean pilot orifices and test thermocouple; <u>replace thermocouple if necessary.</u>

B. Flue

_____	_____	_____	7. Inspect flue pipe from furnace to chimney for rust, weak spots, and leaks.
_____	_____	_____	8. Clean and vacuum flue pipe and reinstall in a secure manner. (Seal around flue/chimney connection if necessary.)

C. Distribution

_____	_____	_____	9. Inspect and purge relief valve.
_____	_____	_____	10. Inspect circulator pump for safe and effective operation, paying close attention to couplings and motor conditions.
_____	_____	_____	11. Purge expansion tank and radiators as needed.
_____	_____	_____	12. Check condition of water. If it is rusty or has high level of sludge, then drain, flush, and refill the system.
_____	_____	_____	13. Check operation of radiator valves.

II. TUNE

A. Combustion

Auditor	Contractor	N/A	
_____	_____	_____	14. Adjust gas input pressure to 3.5" W.C. (natural gas) or 10.5" W.C. (liquefied petroleum gas) in the manifold and then clock meter (if possible) to assure the input is within 10% of rate input. NOTE: If gas pressure is correct and clocked input is more than 10% lower than rated input, check orifices for proper size. If furnace is over firing and gas pressure is correct then change to lower orifice size.
_____	_____	_____	15. Adjust primary air shutter to obtain highest CO ₂ and O ₂ in the flue (before diverter) without making CO while still maintaining a steady blue flame with slight yellow tips. There must not be any lifting or floating flames.

Auditor	Contractor	N/A	
_____	_____	_____	16. Adjust pilot flame just high enough to activate the thermocouple & ignite burner without delay.
_____	_____	_____	17. On boilers with electronic pilot ignition, pilot should ignite without delay. When pilot is proven, burner should ignite without delay.
_____	_____	_____	18. Test igniter to assure that it will lock out after 1st or 2nd attempt to ignite pilot.
_____	_____	_____	19. Measure amperage of gas valve and any other low voltage equipment on the control circuit and set thermostat heat anticipator to match.
_____	_____	_____	20. Level thermostat, and, if necessary, calibrate thermostat and thermostat thermometer to within 1 degree at 72 degree setting.
B. Air Handling/Distribution			
_____	_____	_____	21. Bleed all radiators to ensure no air is in the system (hot water system).
_____	_____	_____	22. Lubricate circulator pump as needed.
_____	_____	_____	23. Check operation of zone control valves if any. Lubricate as needed.
_____	_____	_____	24. Check each radiator for output.
_____	_____	_____	25. Balance supply distribution for homeowner's comfort, where applicable.

Comments:

Contractor Certification

Final Stack Temperature _____ Draft _____ CO _____ Ppm

Clock Input _____ Seconds _____ Btu/hour Temperature Rise _____

Anticipator Setting _____ Measured Amperage _____

I certify that the work specified above has been completed and that all requirements have been met.

Signature of Contractor

Date

Auditor Certification

Final Stack Temperature _____ Draft _____ CO _____ Ppm

Temperature Rise _____ Call Back Required ☐ Yes ☐ No

I certify that the work specified above has been completed by the contractor.

Signature of Auditor/Inspector

Date

Work Order and Procedure for Oil Furnace Clean & Tune

 Home Owner Name: _____
 Address: _____
 City, St, Zip: _____
 Phone No.: _____
 Job No.: _____

 Agency Name: _____
 Address: _____
 City, St, Zip: _____
 Phone No.: _____
 Date Work Order Sent: _____
 Auditor/QCI Name: _____

 _____ is hereby authorized to complete a Clean & Tune as prescribed below.
 Submit completed work order and invoice by _____ to receive payment.

I. CLEAN
A. Combustion Area

Auditor	Contractor	N/A
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

1. Brush down all dirt, soot, and rust from heat exchanger sections.
2. Brush down and vacuum all flue passageways within the furnace.
3. Remove burner assembly; clean and align ignition electrodes.
4. Clean blast tube and flame head.
5. Replace nozzle with same size or lower size if derating is possible or desirable.
6. Brush down and vacuum remainder of combustion chamber so that it is free of dirt, soot, and loose rust.
7. Replace oil line filter cartridge.

B. Flue

_____	_____	_____
_____	_____	_____
_____	_____	_____

8. Inspect flue pipe from furnace to chimney for rust, weak spots, and leaks.
9. Clean and vacuum flue pipe and reinstall in a secure manner. (Seal around flue/chimney connection if necessary.)
10. Clean and check barometric damper for proper operation.

C. Air Handling/Distribution

_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

11. Clean and vacuum heat exchanger if accessible.
12. Remove blower assembly to clean and remove any dirt, grease, and foreign matter. Clean and vacuum return air cabinet.
13. Clean and vacuum all supply/return registers and immediate duct openings.
14. Inspect air filter(s) and replace if necessary. (SIZE: ____ x ____ x ____)
If permanent type, clean as per manufacturer's recommendation.
15. Clean air conditioning coil, where applicable.

II. TUNE
A. Combustion

Auditor	Contractor	N/A
_____	_____	_____
_____	_____	_____
_____	_____	_____

16. Seal all joints, cracks and openings that would allow air to infiltrate into the combustion area of the furnace.
17. Adjust barometric damper so that a reading of .02-.04" W.C. at the breech is obtained.
18. Adjust primary air shutter to obtain highest CO₂ in the flue (before barometric damper) with a smoke of 0 to 2 while still maintaining a steady flame. (0.1 on flame retention burners.)

Auditor Contractor N/A

19. Measure amperage of primary control and set thermostat heat anticipator to match.

20. Level thermostat, if necessary, calibrate thermostat and thermostat thermometer to within 1 degree at 72 degree setting.

B. Air Handling/Distribution

21. Check blower and motor bearings, lubricate as needed.

22. Check belt condition and adjust for proper tension; replace if worn or cracked.

23. If stack temperature is above 550 degrees, increase blower speed to deliver more heat and lower stack temperature. Stack temperature should not be lower than 250 degrees. If so, decrease blower speed or adjust blower to obtain greatest temperature rise at the supply plenum. NOTE: This may not work on all furnaces.

24. Set fan switch (if possible) so that blower comes on at 120 degrees and goes off at 100 degrees. Set limit no higher than 200 degrees if limit is adjustable.

25. Test fan and limit control for proper operation.

26. Balance supply distribution for homeowner's comfort, where applicable.

Comments:

Contractor Certification

Final Stack Temperature _____ Draft _____ CO _____ Ppm _____ Smoke No. _____

I certify that the work specified above has been completed and that all requirements have been met.

Signature of Contractor

Date

Auditor Certification

Final Stack Temperature _____ Draft _____ CO _____ Ppm _____ O₂ _____

Smoke No. _____

Call Back Required? Yes No

☐
☐

I certify that the work specified above has been completed by the contractor.

Signature of Auditor/Inspector

Date

Furnace or Space Heater Replacements
Form D

REQUEST FOR QUOTATION	RFQ No. _____	Target Date _____		
Requester:	Date: _____	Time: _____ p.m.		
	Page: _____ of _____	Date: _____		
Received From:	Telephone No. _____			
	Delivery To (F.O.B. Destination -- Client Home)			
Instructions Upon receipt, the Respondent should submit a quotation in the manner as indicated below. The target date/time specified above is the time by which a quotation is needed. The requestor may assume that the Respondent is not submitting a quotation if a response is not received by the target date/time.				
Telephone Quotation Requested		Return Mail Quotation		
Description	Est. Qty	Material Cost	Labor Cost	Total Amount
Replacement Furnace / Vented Space Heater (Circle One) Brand: _____ Model # _____ Rated Btu Output: _____ KBtu AFUE % _____ Include: (Agency to list other items associated with replacement) _____ _____ <div style="text-align: right;">Total Quotation</div>				
Existing Furnace / Vented Space Heater (circle one) Brand: _____ _____ Model # _____ Rated Btu Output: _____ KBtu AFUE % _____ Note: This RFQ can be used for either a furnace or space heater replacement. However, an existing furnace should be replaced with a furnace and a space heater should be replaced with a space heater unless otherwise approved.				
The Respondent hereby agrees to furnish items and/or services, at the prices quoted, pursuant to all requirements and specifications contained in this document, upon either the receipt of an authorized Purchase Order from the Agency or when this document is countersigned by the agency as a binding Contract. The Respondent further agrees that the language of this document shall govern in the event of a conflict with His or Her quotation.				
Company Name: _____ Date: _____ Authorized Signature: _____ Title: _____ Phone No. _____ Federal ID or Social Security No. _____				
Notice of Award (Agency Use Only)		Contract No. C		
Signature of Buyer: _____		Date: _____		
Director of Purchasing: _____		Date: _____		

Request For Quotation (RFQ) Guidance (Furnace or Space Heater)

Table of Contents

Part I	General Information.....	223
Part II	Instructions to Respondents	225
Part III	Technical Specifications.....	227
Part IV	Specific Requirements	229
Part V	Contractual Requirements.....	231
Form E	Request for Sole Source/Sole Response Approval for Commodities....	233
Form F	Request for Sole Source/Sole Response Approval for Services.....	235
Form G	Bid Tabulation Form	237
Form H	Telephone Bid Record	239
Form I	RFQ or IFB Amendment Form.....	241
Form J	Building Insulation Product Containing Recovered Materials.....	243

Part I: General Information

This quotation is for furnace/space heater replacement work. Quoted prices must be based on COMPLETE installation of the furnace/space heater and necessary components. All work must be performed to engineering standards.

The contractor shall:

1. Obtain and install new material needed to complete the designated furnace/space heater replacement, in compliance with the Technical Specifications section.
2. Complete this service within _____ days from the date of issuance of the work order by the agency.
3. Request quality control inspection of work by returning the completed work order and invoice within _____ calendar days of completion of the work; should, upon quality control inspection, the agency find improperly completed work, the contractor must correct the deficiencies within _____ working days (_____ day(s) during severely cold weather) from the date of issuance of the rework order.
4. Keep the work area as clean and safe as possible with minimum disturbance to the client, and sweep the area upon completion of the work (includes removal of all debris, parts and unit unless otherwise specified by the agency).
5. Inform the agency when the work cannot be performed as indicated, when the homeowner refuses the work, or the service called for does not match the actual job site.

Credit for completed work shall be provided when all work (including rework) for the job has passed quality control inspection by the agency. Payment for completed work, passing agency inspection, shall be provided within _____ days.

Only the work specified by the agency shall be performed by the contractor. If additional work is needed, the contractor must receive agency approval before proceeding. No additional work will be paid for without prior authorization by the agency.

A contract to perform the services specified in this Request For Quotation shall be awarded to the lowest-priced responsible respondent capable of performing the work satisfactorily.

The Missouri Weatherization Program is funded _____% by federal funds. The total amount of weatherization program funds granted to _____ during the current program year is \$_____.

Part II: Instructions to Respondents

NOTE: It is very important to follow these instructions carefully!

- G. The respondent must fill out the material, labor and total columns on page 1 and sign page 1 of this RFQ.
- H. If submitted as a written quotation, this RFQ must be submitted in a clearly marked, sealed envelope.
- I. The RFQ must be completed in handwritten or typewritten indelible ink.
- J. All signatures and prices must be clear and legible.
- K. Modifications to this RFQ by the respondent are not allowed.
- L. All prices must be stated as firm fixed prices. Discounts are not allowed.
- M. A pre-quotation conference will be held:

All prospective respondents are urged to attend.

- N. The deadline for RFQ submission is:

Date: _____ Time: _____

- O. The winning respondents shall have 5 working days from the date of final award announcement to submit to the Agency:
 - 1. A copy of a current business permit or occupational license (where applicable).
 - 2. Certificates of general liability insurance.
 - 3. Certificates of Worker's Compensation insurance (when required).
 - 4. Verification that the contractor's employees have all received their OSHA-10 Certification.

The agency reserves the right to accept or reject any or all RFQs, and to disqualify any respondent.

Part III: Technical Specifications

All materials and installations must comply with the NREL Standard Work Specifications for Home Energy Upgrades (SWS): <https://sws.nrel.gov>

Material Standards:

Replacement Furnace or Boiler, Gas-fired:

- Replace gas-fired, central furnaces: conformance to NFPA 54-2012 (or the latest version).
- Minimum AFUE Rating for high-efficiency central furnaces: 90% + Direct Vent.
- Minimum AFUE Rating for mobile home furnaces: 90% + Direct Vent.
- AGA design certified and carry AGA seal.
- Replacement boiler must conform to the 2007 ASME Pressure Vessel Code (or the latest version).
- Liquid Petroleum Gas Storage: conformance to NFPA 58-2008 (or the latest version).
- Electric or hot surface ignition systems are allowable with a replacement furnace or boiler.

Replacement Furnace or Boiler, Oil-fired:

- Replace oil furnace: conformance to NFPA 31-2012 (or the latest version) + Direct Vent.
- Replace boiler: conformance to the 2007 ASME Pressure Vessel Code (or the latest version).
- Minimum AFUE for oil-fired furnace/boiler: 85% + Direct Vent.

Replacement Space Heater, Gas-fired (includes all vented floor, wall, and room-type space heaters):

- Replace gas-fired space heater: conform to NFPA 54 – 2012 (or the latest version).
- AGA design certified and carry AGA seal.
- Liquid Petroleum Storage: conformance to NFPA 58-2008 (or the latest version).
- No minimum AFUE for gas-fired space heaters, but space heaters must be Direct Vent.

Replacement/Installation/Operational Specifications:

Replacement furnace/space heater must:

- Be of the same fuel type as the unit being replaced, unless otherwise approved by the department.
- Have return air filtration system on forced-air systems (excludes wall furnaces, floor furnaces and vented space heaters), with a minimum MERV 6 filtration with no air bypass around the filters.
- Be sized appropriate to the dwelling and/or existing distribution system. Document through Manual J or manufacturer's sizing guide.

Flue Requirements:

- The flue of the unit is to be sized according to manufacturer’s specifications and installed correctly. Refer to GAMA or NFPA Venting Tables.
- Replacement includes any sheet metal, piping, wiring, flue pipe, draft regulators or barometric dampers and any controls necessary to complete the replacement.
- Contractors must assure proper operating of newly installed units by starting and running the system through one full cycle and verifying proper operation of all controls and components.

All work performed by the contractor must be to the SWS, manufacture’s specification, industry standards and accepted practices.

Part IV: Specific Requirements

- P. The contractor shall maintain Comprehensive General Liability Insurance at a minimum of \$300,000 Combined Single Limit for Bodily Injury and Property Damage, per occurrence and aggregate. There shall be no deductible clause on any policy of the insurance provided. This Comprehensive General Liability coverage must include premises and operations, broad form property damage, products/completed operation, contractual insurance, independent contractors, and personal injury.

The contractor shall maintain Worker's Compensation Coverage as required by law. Certification of coverage must be provided to the agency prior to the commencement of any work under this contract. Certification shall include documentation that the coverage shall remain in force during the duration of this contract

- Q. The contractor shall indemnify and hold harmless the client, agency and State, including employees and officers, from any and all actions claims, losses and liabilities which may be made against the agency or state as a result, directly or indirectly, of the performance of this contract. The agency shall assist the contractor as may reasonably be necessary. Insurance coverage as specified herein shall be provided in support of these indemnification requirements, but shall not release the contractor from these responsibilities.
- R. The contractor hereby releases the agency and recipient of services from all actions, claims and expenses related to the work performed pursuant to this contract.
- S. The contractor shall comply with RSMo. 34.350 et.al. (Missouri Products Preference), RSMo. 643 (Clean Air Statutes) and RSMo. 701.102-701.127 (Codes and Standards: Asbestos Removal).
- T. The contractor shall comply with the National Fuel Gas Code for all work and materials performed on gas systems and, where applicable, all local/city codes, regulations and standards. The quality control inspection report of the agency shall not be deemed to be a warranty or representation that all such regulations and standards have been complied with by the contractor.
- U. The contractor shall notify the agency of any unsafe or dangerous conditions concerning the heating system being serviced. The existence of these conditions or problems may have been undetectable or overlooked by the agency auditor.
- V. The contractor shall furnish items and services at the prices quoted herein, in accordance with the specifications and the terms and conditions listed on each work order, this document, and mutually approved amendments.

- W. The contractor agrees to notify the agency in writing immediately of changes in his availability or ability to successfully complete the work specified herein. The contractor shall be held fully accountable for all work prior to notification of the agency.
- X. The contractor warrants that all materials and components installed in performance of this contract shall be free of defect in materials and workmanship for the same time provided by the manufacturer. Should any material prove defective within this time period, the contractor agrees to replace the defective materials/components with new, non-defective materials at no cost to the agency or the client within working ____ days of notification (within ____ day(s) in extremely cold weather). Warranty documents and all pertinent information shall be given to the client by the contractor upon completion of the installation.
- Y. The RFQ may be invalidated by the agency and/or the Department of Natural Resources' Division of Energy.
- Z. In the event of a sole source response, the agency reserves the right to negotiate prices with the respondent.
- AA. The agency reserves the right to accept and reject any RFQ and to disqualify any respondent.
- BB. The agency reserves the right to terminate the RFQ process without recourse by the respondent and to resubmit RFQ's, as necessary, prior to award.

Part V: Contractual Requirements

- CC. The contractor assures compliance with Executive Order 11246 “Equal Employment Opportunity,” as amended by Executive Order 11375 and supplemented by Department of Labor regulations (41 CFR, Part 60).
- DD. The contractor assures compliance with Copeland “Anti-Kickback” Act (18 USC 87) and 29 CFR, Part 3.
- EE. No interest shall be paid from department administered funds for any reason.
- FF. The activities of the contractor's staff and associates shall be fully coordinated with the activities of the agency. As the work of the contractor's staff and associates progresses, advice on matters of immediate concern to the agency and related to the specific scope of work covered by the contract, shall be made available to the agency during the period of the contract.
- GG. The contractor shall not assign any interest in the contract and shall not transfer any interest, whatsoever in the same (whether by assignment or novation/substitution), without the written consent of the agency.
- HH. The contract shall be construed according to the laws of the State of Missouri.
- II. No official or employee of the agency, or official or employee of the contractor or its governing body, or any public official of the State of Missouri who exercises any functions or responsibilities in the review or approval of the undertaking or in the fulfillment of the obligations of the terms and conditions of contract shall, prior to the completion of the term of contract, voluntarily acquire any personal interest, direct or indirect, in the contract, proposed contractor or contract subject.
- JJ. The contractor covenants that he has no interest and shall not acquire any interest, direct or indirect, which could conflict in any manner or degree with the performance of the specified services. The contractor further covenants that in the performance of this contract, no person having any such known interest shall be employed.
- KK. The contractor agrees that the agency and/or clients of the agency shall not be liable for the debts of the contractor or any other firm or organization affiliated with the contractor in the fulfillment of the terms of this contract.
- LL. This contract shall be amended only in writing. The amendment shall become binding when signed and dated by both parties.
- MM. It is the contractor's responsibility to fulfill all obligations under this contract. The contractor shall subcontract for labor and or materials only with the advanced expressed written consent of the agency and the department. Approval to subcontract shall in no way release the contractor of his/her responsibility to fulfill his/her obligations under this contract.

- NN. The Department of Natural Resources' Division of Energy's Weatherization Assistance Program is not a party to this RFQ or contract and shall be held harmless in any dispute arising from this RFQ or contract.
- OO. The contractor agrees that all work shall be performed in strict compliance with all applicable laws, ordinances, OSHA guidelines, rules and regulations of federal, state, county or municipal governments or agencies, now in force or that may be enacted hereafter. The quality control inspection report of the agency shall not be deemed to be a warranty or representation that all such laws, ordinances, rules and regulations have been complied with the contractor.
- PP. In the event that the contractor fails to perform satisfactory work in compliance with the terms of this contract, after receiving written notification/warning from the agency, this contract shall be terminated. Termination shall result from:
1. Conviction of a criminal offense.
 2. Unjustifiable failure to perform the terms of this contract, provided that failure to perform was not a result of acts beyond the control of the contractor.
 3. Failure to perform satisfactorily, which results in 3 rework orders. (Rework, in this situation, is defined as unacceptable service due entirely to the performance of the contractor).
 4. Failure to complete work and submit completed work order/invoice within the specified time period.
 5. _____ or more valid client complaints (validity determined by the agency).
 6. Failure to perform work to meet the National Fuel Gas Code (NFPA 54) or the National Oil Code (NFPA 31), manufacturers' specifications and, where applicable, local and city codes.
 7. Failure to maintain required insurance coverage.
- QQ. Under no circumstances will any lien ever be placed on any client home.
- RR. The contractor shall retain records relating to this contract for five years after final payment is made under the contract. If an audit, litigation, or other action involving the records is started before the end of the five-year period, the records must be retained until all issues arising out of the action are resolved, or until the end of the five-year period, whichever is later. The Department of Energy, Comptroller General of the United States, the Missouri Department of Natural Resources' Division of Energy and the agency or any of their authorized representatives shall have access to a contractor's records.
- SS. Termination of this contract shall result in the contractor being barred from doing further business with the agency and bidding on future contracts for a period of two years.

Weatherization Program

Request for Sole Source/Sole Response Approval for Commodities

Agency _____ Date _____ Program Year _____

Item Description _____

Has Agency Attempted to Rebid? _____

Quantity: Estimated* _____ Actual _____

(If estimated, state basis) _____

Bid Price (Total) _____ Bid Price Per Item: _____

Contract Period: From: _____ To: _____

Vendors Receiving Bid:(Attach list as necessary)

Vendors Responding: (Attach list as necessary)

Agency Comparisons			
Agency	Manufacturer	Unit Price	Contract Period
Retail Comparisons			
Retailer	Manufacturer	Unit Price	Price Effective

Weatherization Program

Request for Sole Source/Sole Response Approval for Services

Agency _____ Date _____ Program Year _____

Item Description _____

Has Agency Attempted to Rebid? _____

Quantity: Estimated* _____ Actual _____

(If estimated, state basis) _____

Bid Price (Total) _____ Bid Price Per Item: _____

Contract Period: From: _____ To: _____

Vendors Receiving Bid:(Attach list as necessary)

Vendors Responding: (Attach list as necessary)

Agency Comparisons			
Agency	Manufacturer	Unit Price	Contract Period
Retail Comparisons			
Retailer	Manufacturer	Unit Price	Price Effective

Bid Tabulation Form

Bid Description: _____

Bid Opening Date: _____

Bid Number: _____

Bid Opening Time: _____

Location of bid opening: _____

Bid Results						
Bidders						

Agency Name: _____

Names and Signatures of Agency Personnel Present at Bid Opening:

Printed Name:

Signature:

Form H

Telephone Bid Record		Page ____ of ____	Requisition No. / Purchase No.	
Bidder No. 1				
Company			Vendor No.	
Person Contacted		Telephone No.	Bid Type <input type="checkbox"/> Phone <input type="checkbox"/> Written <input type="checkbox"/> Verbal	
Item No.	Bidders Brand or Description	Qty	Unit Price	Item Total
F.O.B		Delivery		Bid Total
Bidder No. 2				
Company			Vendor No.	
Person Contacted		Telephone No.	Bid Type <input type="checkbox"/> Phone <input type="checkbox"/> Written <input type="checkbox"/> Verbal	
Item No.	Bidders Brand or Description	Qty	Unit Price	Item Total
F.O.B		Delivery		Bid Total
Bidder No. 3				
Company			Vendor No.	
Person Contacted		Telephone No.	Bid Type <input type="checkbox"/> Phone <input type="checkbox"/> Written <input type="checkbox"/> Verbal	
Item No.	Bidders Brand or Description	Qty	Unit Price	Item Total
F.O.B		Delivery		Bid Total
I hereby certify that the bid(s) indicated above are correct as stated and that I have not revealed a bidder's bid to any other bidder or person.				
Purchaser Signature		Department / Agency		Date



Sample Form

Form I

RFQ or IFB Amendment Form

Agency Name: _____

Amendment to Weatherization Contract # _____

[illegible]

Effective Date of the Amendment: _____

Agency: _____

Authorized Signature _____

Name & Title (Print or Type) _____

Contractor or Vendor: _____

Authorized Signature _____ Name & Title (Print or Type) _____

**Building Insulation Product Containing Recovered Materials
Annual Review and Monitoring**

Agency: _____

Date: _____ Program Year: _____

Signature: _____

Building Insulation Product Containing Recovered Material:

Quantity Purchased: _____

Dollar Amount: _____

Total Building Insulation Materials: (Including those containing recycled products)

Quantity Purchased: _____

Dollar Amount: _____

Effectiveness of the Promotion Program:

Methods of Promotion Utilized: _____

Assess the Effectiveness of Utilized Method: _____

Assessment of the Affirmative Procurement Program:

Barriers to Purchasing Insulation With Recovered Content:

Other Comments: _____

Please complete this form at the end of the program year and retain in the agency's files for documentation.

LINKS to APPENDICES

Appendix A.1 – PY22/FY23 DOE State Plan Documents

PY22/FY23 Annual File Worksheet:

<https://dnr.mo.gov/document-search/weatherization-assistance-program-annual-file-project-year-2022>

PY22/FY23 Master File Worksheet:

<https://dnr.mo.gov/document-search/annual-application-fiscal-2022-us-department-energy-funding-master-file>

PY22/FY23 Master File Attachments:

<https://dnr.mo.gov/document-search/mo-weatherization-assistance-program-state-plan-attachments-project-year-2022>

Appendix A.2 – Bipartisan Infrastructure Law State Plan Documents

Bipartisan Infrastructure Law Annual File Worksheet:

<https://dnr.mo.gov/document-search/weatherization-state-plan-bipartisan-infrastructure-law-annual-file>

Bipartisan Infrastructure Law Master File Worksheet:

<https://dnr.mo.gov/document-search/weatherization-state-plan-bipartisan-infrastructure-law-master-file>

Bipartisan Infrastructure Law Master File Attachments:

<https://dnr.mo.gov/document-search/weatherization-state-plan-bipartisan-infrastructure-law-health-safety>

Appendix B – 10 CFR 440

<http://www.ecfr.gov/current/title-10/chapter-II/subchapter-D/part-440>

Appendix C – DOE WPN 22-1 Grant Guidance

<https://www.energy.gov/eere/wap/articles/weatherization-program-notice-22-1-program-year-2022-weatherization-grant>

Appendix D – DNR General Terms and Conditions

<https://dnr.mo.gov/document-search/attachment-c-dnr-terms-conditions>

Appendix E – DNR Sample Scope of Services

<https://dnr.mo.gov/document-search/attachment-b-scope-services-template>